DOCUMENT RESUME

ED 267 697 HE 019 165

AUTHOR Meredith, Mark
TITLE Strategic Planning and Management: A Survey of Practices and Benefits in Higher Education.
PUB DATE May 85
NOTE 63p.; Diagrams contain small print.
PUB TYPE Reports - Research/Technical (143) -- Tests/Evaluation Instruments (160)

EDRS PRICE MF01/PC03 Plus Postage.
DESCRIPTORS Administrator Attitudes; *College Administration; *College Planning; Educational Objectives; *Educational Resources; Guidelines; Higher Education; *Needs Assessment; Private Colleges; School Size; *School Surveys; *Self Evaluation (Groups); State Colleges; Two Year Colleges; Upper Division Colleges
IDENTIFIERS *Strategic Planning

ABSTRACT

Strategic planning and management (SPM) methods and benefits/problems encountered are examined, based on a survey of postsecondary institutions. In addition to considering administrative, technical, and resource requirements and conditions, guidelines for conducting SPM are presented. After an initial questionnaire to determine whether institutions used SPM, information was obtained from 96 colleges, 28.2% of the initial sample, or about 3% of U.S. higher education institutions. Attention is directed to: major purposes of doing SPM at the college; processes/steps engaged; general satisfaction with SPM processes; locus of development of specific methods for SPM; results and benefits realized from SPM and general satisfaction with results; institutional requirements/conditions for doing SPM (e.g., estimated timing, staff/faculty involved); problems encountered in SPM; and observations and recommendations regarding SPM. Results are analyzed for: public and private institutions; small, medium, and large colleges; and two-year, four-year offering master's degrees, four-year offering doctoral, and special institutions. Detailed findings and graphical representations are provided, and implications for further research are considered. The survey questionnaires and list of participating institutions are appended. (SW)

****
* Reproductions supplied by EDRS are the best that can be made *
* from the original document. *
****

BEST COPY AVAILABLE

ED267697

STRATEGIC PLANNING AND MANAGEMENT: A SURVEY OF PRACTICES AND BENEFITS IN HIGHER EDUCATION

MARK MEREDITH
UNIVERSITY OF COLORADO, BOULDER

May, 1985

HE019165

"PERMISSION TO REPRODUCE THIS MATERIAL HAS BEEN GRANTED BY

Mark Meredith

TO THE EDUCATIONAL RESOURCES INFORMATION CENTER (ERIC)."

U.S. DEPARTMENT OF EDUCATION
NATIONAL INSTITUTE OF EDUCATION
EDUCATIONAL RESOURCES INFORMATION CENTER (ERIC)

☐ This document has been reproduced as received from the person or organization originating it.
☐ Minor changes have been made to improve reproduction quality.

• Points of view or opinions stated in this document do not necessarily represent official NIE position or policy.

STRATEGIC PLANNING AND MANAGEMENT:
A SURVEY OF PRACTICES AND BENEFITS
IN HIGHER EDUCATION

ABSTRACT

Methods of strategic planning and management--purposes, processes, benefits, and problems--described in business-sector and higher education sources are summarized. Actual practices and benefits, discovered through a survey of postsecondary institutions, are presented in comparison with the methods described in the literature. Results suggest to those engaging or about to engage in strategic planning and management how well the methods seem to work. Administrative, technical, and resource requirements and conditions are included in the analysis. In addition, institutional research practitioners--often involved in strategic planning and management studies such as strategic positioning--may gain useful understandings that can be applied in conducting data gathering and/or further research into strategic planning and management. The study describes: an overview of the state of strategic planning and management; what to expect; what to watch for; how to save time, and therefore money, in strategic planning and management.

TABLE OF CONTENTS

ABSTRACT....iii
TABLE OF CONTENTS....v
I. INTRODUCTION....1
II. PURPOSE OF THIS STUDY....1
III. LITERATURE ON STRATEGIC PLANNING AND MANAGEMENT (SPM)....1
Definition of SPM....2
Major Purposes of SPM....2
SPM Processes and Steps....2
Common SPM Problems....3
IV. METHODOLOGY....3
V. LIMITATIONS OF THE STUDY....5
VI. SURVEY RESPONSES....5
Analysis and Findings--Survey #1: What proportion of institutions engage in SPM?....6
Analysis and Findings--Survey #2: What are SPM practices and benefits?....6
A. Average Item Responses:
1. Major purposes of doing SPM....7
2. SPM Processes/Steps engaged in....11
3. Estimated success in SPM processes/steps....13
4. General satisfaction with overall SPM processes....13
5. Locus of development of specific SPM methods....13
6. Use of outside aids in developing SPM methods....16
7. Success in use of outside aids....16
8. Results/benefits realized from SPM....19
9. Satisfaction with results/benefits....19
10. Institutional requirements/conditions for doing SPM...21
a. Estimated timing (years)....21
b. Staff and faculty involved....21
c. Organizational structuring for decisions....21
d. Technical requirements....23
e. Estimated dollar resources required....23
f. Actual vs. expected institutional requirements....25
11. Problems encountered in SPM....25
12. SPM with time and experience....29
B. Analysis of Variance....29
C. Selected Correlations....31
D. Comments from the Survey....33
1. Especially helpful outside aids....35
2. Satisfaction/dissatisfaction with SPM results/benef...35
3. Observations, suggestions, recommendations concerning SPM....35
VII. CONCLUSIONS, IMPLICATIONS, AND GUIDELINES....36
Conclusions....36
Implications....39
Guidelines for Conducting SPM....40
VIII. FURTHER RESEARCH INTO STRATEGIC PLANNING AND MANAGEMENT....40

REFERENCES....41
ATTACHMENTS:
#1 Survey #1....43
#2 Survey #2....45
#3 Average Item Response Scores (by inst.control,type,size)...47
#4 Respondent Comments by Inst.Type, Control, and Size....51
#5 List of Institutions Responding to Survey #2....62

INTRODUCTION

Strategic planning and management has gained greater attention in higher education in recent years. General methods of conducting strategic planning and management are readily available, in both the business sector and higher education.

What is strategic planning and management? Who in higher education is doing it? Successfully? Is the proportion of institutions engaged in SPM large or small? What are the costs and benefits? The problems?

What meaning(s) and image(s) come to your mind when you see or hear the phrase "strategic planning and management"? Basic ingredients seem simple enough: (1) management (from the Latin "manus", hand, originally used to mean handle and train your horses), a now multi-faceted art-and-science for which few can claim sustained success and none, perfection; (2) planning (from the Latin "planus", level ground, i.e., groundwork) a basic and now multi-level component of management for which, in given situations, there are varying amounts of payoff known as implementation; and (3) strategy (from the Greek "strategos", leader of an army), now used outside of the military to mean a plan or method for obtaining a specific goal, and also multi-directional in that an institution's goals are typically many and varied.

Simply following generally prescribed approaches to strategic planning and management, however, may not assure success. There appear to be many operating requirements and certain obstacles to achieving successful strategic planning and management. It is believed helpful, therefore, to examine what has happened at other institutions of higher education in the practices and benefits of strategic planning and management.

Strategic planning and management is referred to in the rest of this paper as SPM for simplification. This convention should not be construed, however, to suggest that SPM is a package concept, gimmick phrase, or off-the-shelf tool.

What do the practitioners say about SPM? Beyond studies that deal with a few institutions, often of the same kind, what does an overview of SPM at all types and sizes of postsecondary institutions tell us?

PURPOSE OF THIS STUDY

The purpose of this study is to portray current practices and benefits of strategic planning and management in higher education--answering the above kinds of questions--in order to offer a broader perspective and perhaps some additional guidelines to those about to embark upon an SPM course of action, and for those already engaged in it who may seek different results.

Use of strategic planning and management, and accompanying perceptions and understandings, seems to be most relevant at the level of a given institution and its administration, faculty, staff, and students. That's where the action is, and where the buck stops. Examination of strategic planning and management among a cross-section of institutions may enhance these uses, perceptions, and understandings and offer guidance to institutions as they develop or modify and implement strategic planning and management.

LITERATURE ON SPM

The literature on strategic planning and management covers the basic mechanics and also highly detailed and specific aspects of this important activity. Consistent with the purpose of this study, basic elements and concerns are summarized for use in the institutional surveys. The summaries of SPM methods and elements presented here are intended to be self-explanatory. For elaboration or full explanation of SPM basic elements and concerns, you may consult the various references.

From the large array of business-sector literature on SPM, this investigator found the works by Steiner, Pearce and Robinson, Lorange, and Shirley et al to be useful and instructive. From higher education literature, works by Keller, Shirley, Cope, Uhl, and Peterson provide a sound foundation.

One important point to keep in mind in any instance, including this paper, where the focus is on SPM is that it is one of the many parts of management. As such, it should never be thought of as a managerially separate or self-contained process.

There is a certain amount of overlapping content and similar themes in the literature, from which the following key components of strategic planning and management are derived--SPM definition; major purposes; processes and steps; common problems.

o DEFINITION

Strategic planning and management is:

(1) setting goals which match institutional activities, competencies, and resources with the external environment's present and future opportunities, demands, and risks;

(2) formulating alternative courses of short-term and long-term action for achieving the goals;

(3) selecting and implementing a given (best) course of action, and directing and coordinating resources and activities to help assure successful performance; and

(4) evaluating results to insure that goals are met and to monitor the appropriateness of the course of action and necessity for modifications.

o MAJOR PURPOSES OF SPM

The major purposes of doing SPM in higher education appear to be:

Improve financial position.
Improve institutional reputation and quality.
Sustain or increase enrollments.
Cut back programs or resources.
Improve overall management capabilities.
Help meet and adapt to change.
Better identify and provide client needs.
Become more proactive and less reactive.
Become more competitive.
Become more able to deal with uncertainty.

o SPM PROCESSES/STEPS

The basic processes and steps involved in SPM are:

Clarifying/redefining mission and purpose.
Clarifying/redefining traditions, values, and aspirations.
Clarifying/redefining goals and objectives.
Assessing the external environment.
Identifying external opportunities and threats.
Forecasting the external environment (demography, economy, technology, political, social).

Evaluating institutional programs and resources.
Assessing internal strengths and weaknesses.
Assessing leadership abilities and priorities.
Matching external opportunities/threats with internal strengths and values.
Formulating strategic campus plans (enrollments, finances, facilities, organization, human resources).
Formulating departmental plans (academic and support) including internal/external, quality/quantity.
Implementing campus and departmental strategic plans based upon allocation/reallocation of resources.
Review and evaluation of strategic process results.

o SPM PROBLEMS

Key problems encountered in strategic planning and management include the following: (most of these are from Steiner)

SPM is not interwoven into the entire management process.
CEO is not personally committed to SPM.
Purposes of SPM are not clearly identified.
SPM system is not simple, flexible, and well-designed.
Imbalance between analytical processes and intuition, judgments, and values.
Failure to identify and evaluate planning "assumptions."
Planning "climate" is not congenial.
Insufficient managerial conceptual skills and understanding and use of analytical tools.
Unrealistic appraisal of uncertainties.
Line managers not accepting and being involved in SPM
Insufficient focus on both SPM and current operations.
Insufficient attention to implementation of SPM.
Insufficient link between capital allocation and SPM.
Insufficient management reward system for doing SPM.
Too much of SPM is delegated to a "planner" or planning office.
Failure to develop suitable goals and objectives.
Too much staff/faculty resistance to SPM.
Failure to evaluate both campus-level and departmental plans.
Insufficient resources available for conducting SPM.
Insufficient expertise available to do SPM.

This summary from the literature provides the core for institutional surveys administered in this study.

METHODOLOGY

A ten-percent, systematic, cross-section sample of institutions of higher education was surveyed (n=340, selected from the HEP 1984 Higher Education Directory) with two instruments.

The first survey (see Attachment 1), sent to chief executives, asked whether the institution currently engages or has recently engaged in strategic planning and management (defined in the instrument). If so, the survey asked for the name of the individual most knowledgeable about the SPM process who could be contacted for further information. If not, it asked if such a process had been considered and, if so, why it was not attempted. This initial instrument identified the proportion of institutions which have had contemporary exerience with strategic planning and management.

The second survey instrument (see Attachment 2) was sent to those institutions who said they are currently engaged in SPM, and asked structured and open questions about current methods, practices, problems, benefits, and successes in SPM. On the basis of persons designated in the Survey #1, this instrument was sent to chief executives, vice president level executives, and directors or associate/assistant vice presidents. It identified (a) the proportion of institutions which have achieved some level of success in SPM and (b) revealed common as well as varying practices and viewpoints by the following institutional categories:

CONTROL	Public vs. Private
TYPE	Two-year, Four-year (4 or 5 year BA; masters), Four-plus year (beyond masters; doctoral), and Special
SIZE	Student Enrollments: 300-999 (small); 1000-4999 (medium-small); 5000-9999 (medium-large); and 10000 and above (large)

In addition, the data were analyzed in terms of those institutions most satisfied and least satisfied with SPM results and benefits, based upon answers to one of the survey items.

Finally, a small sample of universities--not included in the original sample survey, but known to have devoted special efforts to developing SPM--was surveyed with the same #2 instrument to provide a special comparison with "four-plus year" subset of responses.

The second survey covered the following topics:

---

1. Major purposes of doing SPM at this institution (by degree of importance).
2. SPM processes/steps engaged in (by extent engaged in, and estimated success in).
3. General satisfaction with SPM processes.
4. Locus of development of specific methods for SPM (including outside aids and their estimated usefulness).
5. Results/benefits realized (to date) from SPM (by extent of success).
6. General satisfaction with overall results/benefits of SPM.
7. Institutional requirements/conditions for doing SPM--estimated timing, staff/faculty involved, technical requirements, and dollar resources--by actual versus expected.
8. Problems encountered in SPM (by extent of problem).
9. Observations, suggestions, and recommendations regarding SPM.

The data were analyzed in the following ways:

A. Quantified analysis of the 100 "scored" items--

   (1) Average scores for each item, including selected percentage of responses in high ranges for selected items.
   (2) Graphing of average scores.
   (3) Correlations between selected items.
   (4) Analysis of variance tests for each item.

B. Summary and analysis of the "comments"-- in particular, concerning outside aids, results and benefits, satisfaction with SPM results, problems encountered, and observations, suggestions, recommendations.

C. Summation of guidelines for SPM, derived from the responses and analysis.

LIMITATIONS

There are several limitations to this study. They include:

- No attempt was made to identify or measure the "kind" or "success" of overall management at surveyed institutions. Although these are believed to greatly affect SPM practices and results, it was considered beyond the scope of the study, and would require a separate investigation in itself, to explore management style and practices.
- The survey data are self-reported.
- Not all institutions have had the same length-in-time of experience with SPM. Consequently, in a number of institutional cases,some items had no response.
- This is a beginning, rather than comprehensive, study which does not deal with detailed SPM methods and instrumentation at each institution.
- The data represent a 56 percent response to two successive surveys of a systematic sample of ten percent of all U.S. institutions of higher education, resulting in information for three percent of these institutions.

SURVEY RESPONSES

Out of the total sample (n=340), 196 institutions responded to Survey #1 (i.e., 57.6%). Among respondents to the first survey, 172 which said they are engaged in SPM became the target subsample for the second survey. Subsequently, 96 institutions responded to Survey #2 (i.e., 55.8% of the subsample; 28.2% of the initial, total sample; or about 3% of all U.S. institutions of higher education).

Distribution of surveys and responses by administrative level was as follows:

	SURVEY #1: SENT TO	SURVEY #1: RESPONSE FROM	SURVEY #2: SENT TO FOR RESP FROM
CEO	100%	57%	27%
VP/VC	--	15%	33%
DIR	--	28%	40%
TOTAL	100%	100%	100%

A reasonably consistent percent distribution of institutions by control, type, size, and region was represented across the three sample populations--initial sample, Survey #1, and Survey #2.

The only notable change occurred in the control category, with a slight shift in proportion of public institutions (from 56% to 59%) in the first survey, and a larger shift to public institutions (from 59% to 69%) in the second survey. Conversely, private institutions decreased proportionately from 44% to 41% to 31% in these three sample populations.

Given the shift within the control category, proportions by type, size, and region remained relatively consistent. Variations by type and region were negligible, ranging mostly from 1% to 3%. By size, there was a slightly greater representation in the Survey #2 of medium institutions (1000 to 9999 enrollments) and a slight decrease in smaller (300-999) and larger (10000 and above) institutions.

ANALYSIS AND FINDINGS: SURVEY #1 -- What proportion of higher education institutions engage in SPM?

An initial finding from the first survey, perhaps somewhat surprising as well as significant, is that a high proportion of responding institutions--87%--say they are engaged in strategic planning and management (n=172 out of 196). This 87% was surveyed about their SPM practices in the second survey.

Institutions not engaged in SPM (13% of those replying) responded as follows to two items designed to assess general reasons for not doing SPM:

1. The institution--

has specified (miscellaneous) reasons for not engaging in SPM.	(32%)
has not considered the possibility of using SPM.	(27%)
does not feel the necessity to engage in SPM.	(18%)
considered SPM, but rejected actual implementation.	(14%)
previously engaged in SPM, but no longer does it.	(9%)
	(100%)

2. General reasons for not engaging in SPM include--

specified (miscellaneous) reasons.	(48%)
institution does not possess the necessary tools & techniques.	(32%)
previous efforts were not successful or beneficial.	(8%)
it was too costly and time-consuming vs. potential benefits.	(8%)
institutional mission is too specialized to require SPM.	(4%)

Two results are noticeable: (a) the highest proportions of responses for this non-SPM group were in the "specified reasons" category (i.e., few common reasons), perhaps reflecting institutional diversity in higher education management, and (b) 32% of this group indicated that they do not possess the necessary tools and techniques to engage in SPM.

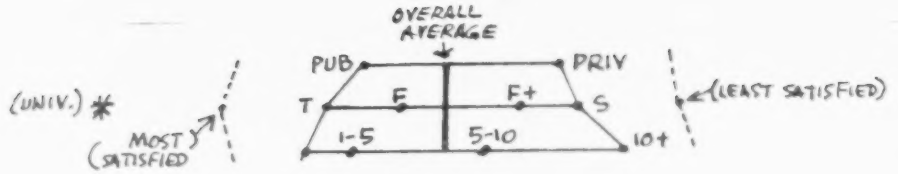
ANALYSIS AND FINDINGS: SURVEY #2 -- SPM practices and benefits.

Analysis and findings of the second survey are presented in four parts: (1) average item responses, in tables and graphs; (2) selected correlations in response items; (3) analysis of variance in response items; and (4) respondent comments. Throughout, an attempt is made to reveal differences by institutional control, type, and size. (Region was not analyzed because the "n's" in half of the six geographic areas were too small.)

AVERAGE ITEM RESPONSES

A summary and comparison of average item scores is provided here in the form of graphs for each of the topics covered in the second survey--major purposes, processes, satisfaction, locus of development, outside aids, results and benefits, requirements and conditions, and problems. Detailed scores appear in Attachment 3.

To condense the results graphically, the following convention is used to summarize each item. The response scale--which varies by topic--appears at the top of each figure. For each item, three horizontal lines are used to connect average score "nodes" for control, type, and size categories, in that sequence. Items within each topic are rank ordered (descending) according to overall average--shown with a heavy vertical bar across the three lines. An illustrative sample of this convention, shown for one hypothetical item, looks like this:



A legend is provided on each page containing graphs of average responses. The legend is as follows:

Control: PRIV = private, PUB = public
Type: T = two-year; F = four-year; F+ = four-plus year; S = special
Size: 1 = <1000; 1-5 = 1000 to 4999; 5-10 = 5000 to 9999; 10+ = 10000+

Satisfaction with SPM results/benefits (satisfied; dissatisfied) = shown with broken lines and noted.

Special (added) university sample: * = university

Another convention, adopted to condense the display of results and analysis, is that only the KEY WORDS from each item description are used in the graphs. For example, in the first of the "major purposes" items, the description is "Help meet and adapt to needed CHANGE." In the graph, the key word used is simply CHANGE. In the corresponding narrative lists, key words are capitalized.

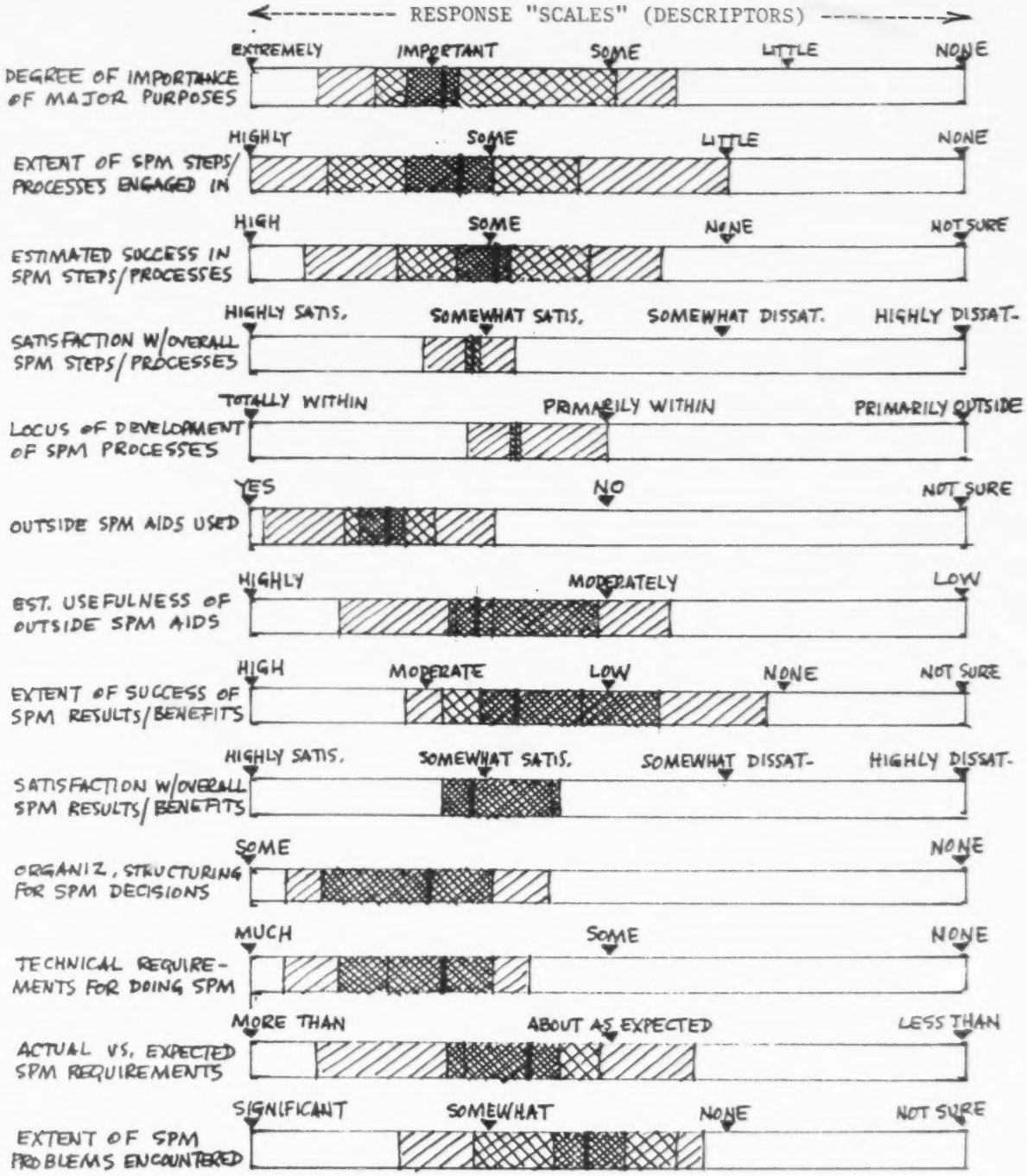
An overview of the range of average, combined, item scores for institutional categories within each broad topic is provided in Figure A. This shows that, in general:

- o major SPM purposes are important.
- o SPM processes are engaged in somewhat.
- o some success is experienced in SPM processes.
- o institutions are somewhat satisfied with overall SPM processes.
- o SPM processes are developed primarily within institutions.
- o outside SPM aids are used somewhat.
- o outside SPM aids are moderately useful.
- o the success of SPM results is moderate to low.
- o institutions are somewhat satisfied with overall SPM results.
- o some organizational structuring for SPM decision making is done.
- o between some and much additional technical requirements for doing SPM are needed.
- o actual SPM requirements are slightly more than expected.
- o SPM problems are encountered to some extent.

1. MAJOR PURPOSES OF DOING SPM AT THIS INSTITUTION.

Figure 1 provides a summary of average response scores for the ten major purposes for doing SPM. The 1-to-5 scale goes from 5 = extremely important, to 1 = no importance.

The scale reflects the fact that this is a list from which an institution may select or identify major SPM purposes. It is not intended that all of the purposes are required as a "package," or that all purposes should have equal importance.



- FIGURE A -

OVERVIEW OF THE RANGE OF AVERAGE RESPONSE SCORES FOR ITEMS BY SURVEY TOPIC

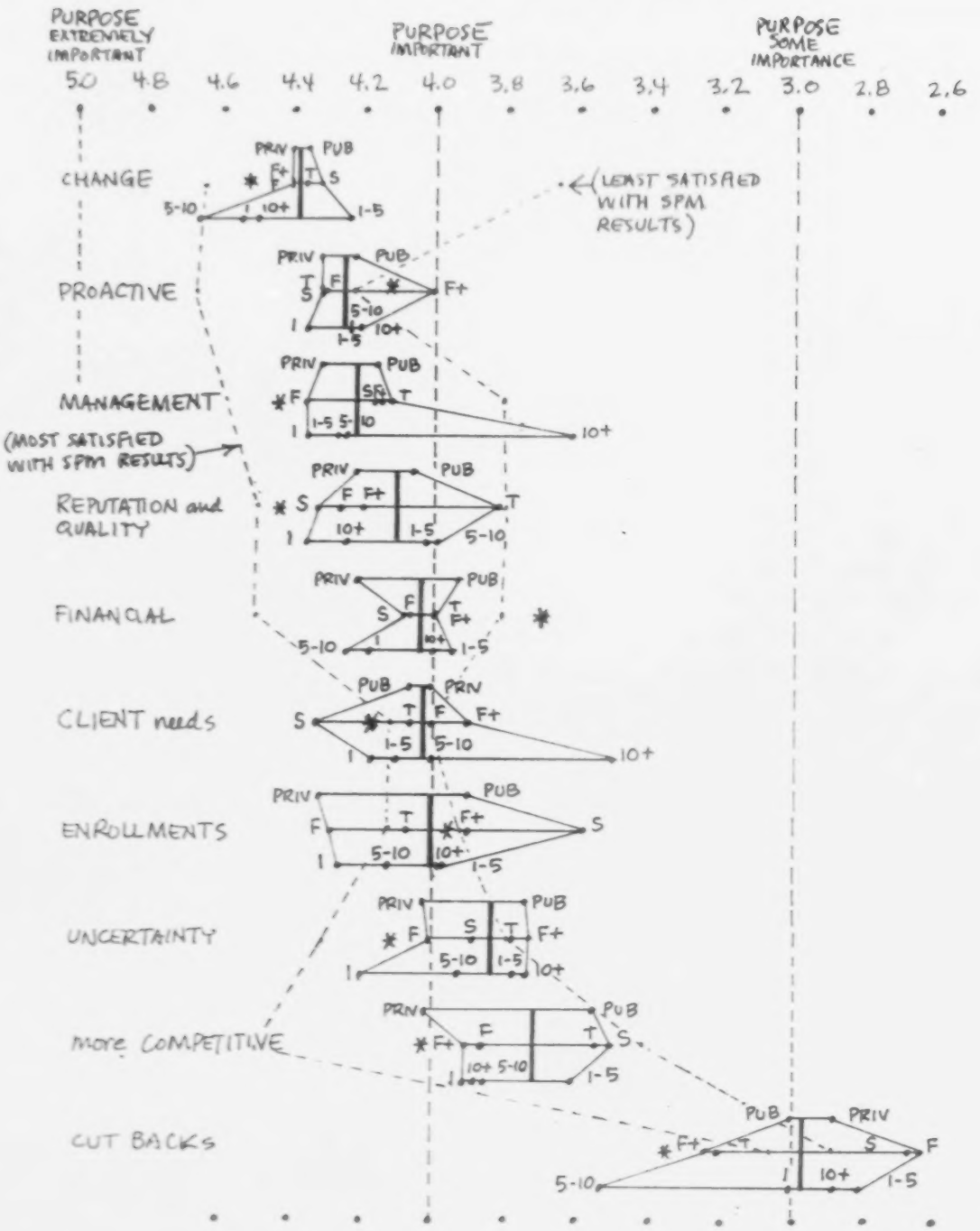


FIGURE 1

AVERAGE RESPONSE SCORES -- MAJOR PURPOSES FOR DOING SPM

Legend: PUB=Public; PRIV=Private.
T=Two-year; F=Four-year; F+=Four-Plus year; S=Special.
1=300-1000; 1-5=1000-4999; 5-10=5000-9999; 10+=10000+.
=Additional University Sample.

Overall averages for the ten purposes range from a high of about 4.4 (between extremely important and important) to a low of 3.0 (some importance). In order of importance, these major purposes rank as follows:

Help meet and adapt to needed CHANGE.
Become more PROACTIVE and less reactive.
Improve overall MANAGEMENT capabilities.
Improve REPUTATION and QUALITY.
Improve FINANCIAL position.
Better identify and provide CLIENT needs.
Sustain or increase ENROLLMENTS.
Be more able to deal with UNCERTAINTY.
Become more COMPETITIVE.
CUT BACK programs or resources.

The last purpose--cut back programs or resources--is noticeably less important than other purposes. No purpose is rated unimportant, however, on the average.

Looking at averages by institutional control--private and public--scores for private institutions are higher in eight of the ten items, i.e., in all but those abbreviated as Client needs and Cut back programs. The greatest differences between private and public averages occurs in those purposes abbreviated as Enrollments, Competitive, Uncertainty, and Financial position, all of which show higher scores for private institutions. (Could the tendency toward private institutions rating "degree of importance" higher for most purposes suggest a greater feeling of vulnerability to external influences, and a slightly stronger need for SPM?)

By institution type, no recurring pattern is evident across all items. The greatest differences occur in Enrollments, Competitive, Reputation and Quality, Client needs, and Cutbacks. Two year institutions rate slightly less importance on Reputation and Quality and Competitive, and slightly more importance on Cutbacks. Four year institutions attach more importance to Management, Enrollments, and Uncertainty, and less importance to Cutbacks. Four-plus year institutions show relatively more importance on Competitive and Cutbacks, and less importance on Proactive and Client needs. Special institutions scored higher on Reputation and Quality and Client needs, and lower on Enrollments, Competitive, and Cutbacks.

By institution size, small institutions (300-999) show the highest average scores on seven of the ten items, suggesting perhaps a greater sense of vulnerability to external influences. The medium-small (1000-4999) group has the lowest average on half of the items--Change, Financial, Enrollments, Competitive, and Cutbacks. The medium-large group (5000-9999) is highest on Change, Financial, and Cutbacks. Finally, the large group (10,000 and above) is noticeably lower on Management and Client Needs, and Lowest on Uncertainty.

Again, no items were rated unimportant, and what is evident is that comparative differences among type and size categories of institutions reveal a diversity in the relative degree of importance for each of the major purposes for doing SPM.

The most satisfied institutions tend to rate purposes more important--in 7 out of 10 items--than do institutions by control, type, or size categories. This occurred in all items except Client needs, Enrollments, and Cutbacks. The most satisfied are well above the range of average scores in 6 items.

The most dissatisfied institutions tend to rate purposes as less important in 5 out of the 10 items.

The "special University sample," in comparison to institutions in the basic survey sample, rate purposes more important in 7 of the items and is above range in two cases (Management, and Reputation and Quality), within range but above average in five (Change, Client needs, Uncertainty, Competitive, and Cutbacks), within range but below average in two (Proactive and Enrollments), and below range in one item (Financial).

2. SPM PROCESSES/STEPS ENGAGED IN

Figure 2 summarizes average response scores to the fourteen items that comprise SPM processes/steps. The 1-to-4 scale goes from 4 = highly engaged in to 1 = not engaged in. In contrast to the list of major purposes (from which to select), SPM processes/steps are (should be) all engaged in because they constitute a system of required, interacting parts.

Overall averages range from a high of about 3.7 (close to highly engaged in) to a low of 2.6 (between engaged in some and little). In rank order of extent engaged in, these processes/steps are as follows:

Clarifying/redefining GOALS and OBJECTIVES. (highly to some)
Clarifying/redefining MISSION and PURPOSE.
Formulating strategic campus PLANS.
Evaluating institutional PROGRAMS and RESOURCES.
Assessing internal STRENGTHS and WEAKNESSES.
Assessing the EXTERNAL ENVIRONMENT.
FORECASTING the external environment.
Formulating DEPARTMENTAL plans.
Identifying external OPPORTUNITIES and THREATS.
IMPLEMENTING campus and departmental strategic plans.
MATCHING external opportunities/threats with internal strengths/values.
Clarifying/redefining TRADITIONS, VALUES, ASPIRATIONS.
Assessing LEADERSHIP abilities and priorities. (some-to-little)

By control, private institutions score higher, e.g., indicate that they engage in these processes to a higher extent, than public institutions on virtually all items. Although average differences are small on about half of the items, and moderate on others, the greatest differences occur for Mission-and-Purpose and Strengths-and-Weaknesses.

By type, special institutions score highest on a majority of items (9) and two-year institutions score lowest on a majority (8), with a tendency toward polarity between these two types. On one item--Reviewing SPM Results--the scores are reversed, with two-year highest and and special institutions lowest. Four-year institutions are highest on three items--Goals and Objectives, Implementing plans, and Traditions, Values, Aspirations--and lowest on Forecasting.

By size, no relative patterns are discernible. In three items, the relative scores are in sequence by size--External Environment, and Opportunities and Threats, for which the relationship is direct, and Assessing Leadership, for which the relationship is inverse.

The more satisfied institutions are above range on three items, above average on ten, and below average on one item in comparison with other categories of institutional analysis. The more dissatisfied institutions are below average on three items and below range on eleven.

The special university sample is above range on four items, above average on nine, and below average on only one item.

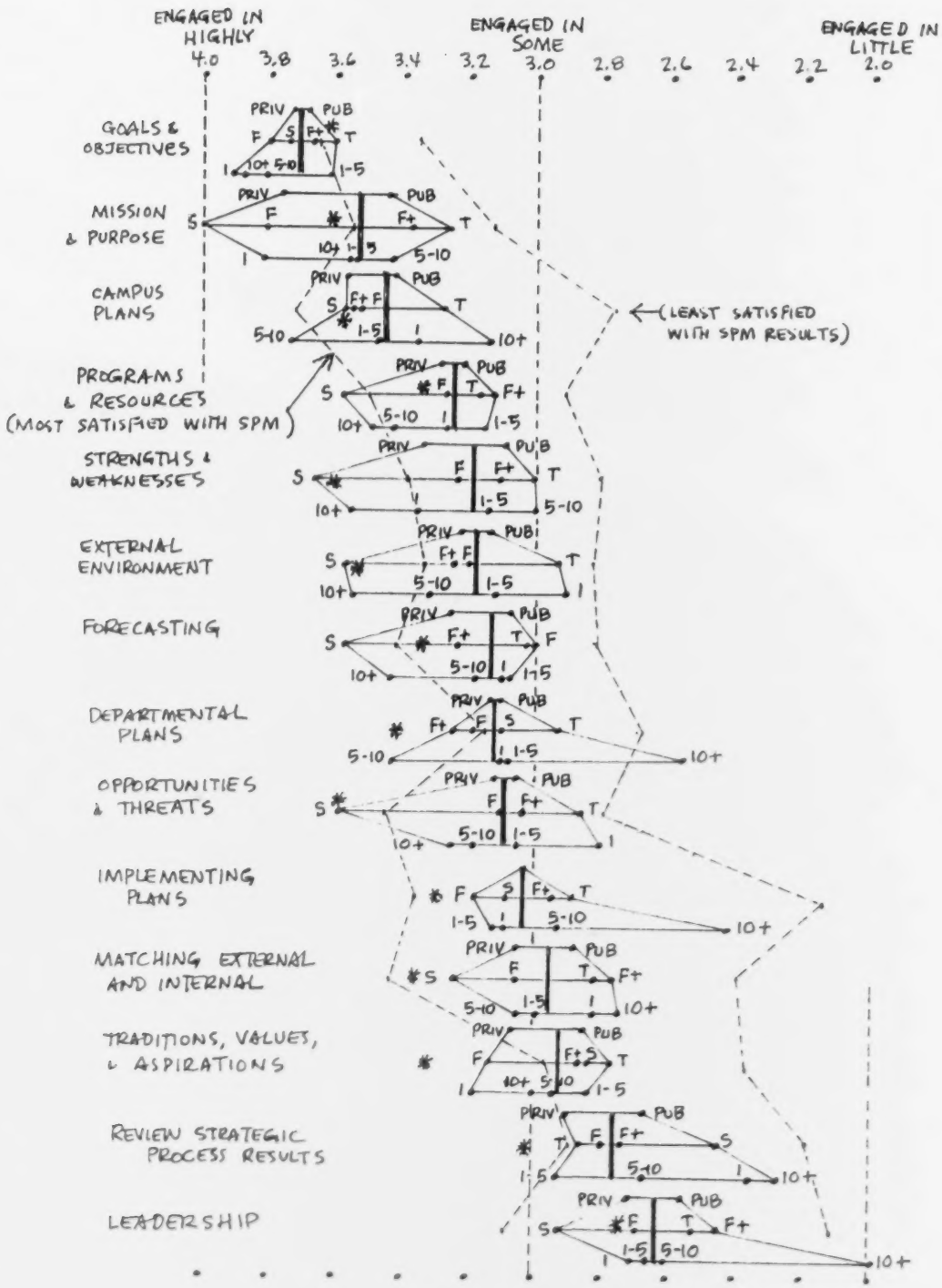


FIGURE 2

AVERAGE RESPONSE SCORES -- SPM PROCESSES/STEPS ENGAGED IN

Legend: PUB=Public; PRIV=Private.
T=Two-year; F=Four-year; F+=Four-Plus year; S=Special.
1=300-1000; 1-5=1000-4999; 5-10=5000-9999; 10+=10000+.
*=Additional University Sample.

3. ESTIMATED SUCCESS IN SPM PROCESSES/STEPS

Figure 3 shows comparative average responses for estimated success in SPM processes/steps. These rank order into approximately the same sequence as the processes/steps engaged in responses, and display similar diversity by institutional categories. The high end of the range is slightly lower here in estimated success (about 3.4), compared to extent engaged in. Although the low end of the range is about the same (2.6), the value 2.0 in this topic means "no success." Consequently, the data indicate a generally low to modest amount of success by institutions in their SPM processes.

By control, differences in average responses are not great, and private institutions scored slightly higher in half of the items, and slightly lower in the other half.

By type, special institutions averaged highest on eight items, and lowest on two items (Formulating and Implementing Strategic Plans). Four-plus year institutions averaged highest on three items (Formulating Strategic Plans, identifying External Opportunities and Threats, and Forecasting the external environment) and lowest on five items (Mission and Purpose, Goals and Objectives, Programs and Resources, Matching external and internal, and Traditions, Values, Aspirations).

By size, two items--Missions and Purpose, and Goals and Objectives--show an inverse relationship between sequence of average score and size of institution. Small institutions averaged highest on six items (Mission/Purpose, Goals/Objectives, formulating Plans, Implementing plans, formulating Departmental plans, and Traditions, Values, Aspirations). Large institutions averaged highest on five items (External Environment, Strengths and Weaknesses, Programs and Resources, Opportunities and Threats, and Forecasting) and lowest on seven items (Mission/Purpose, Goals/Objectives, campus Plans, Departmental plans, Matching, Review of process, and Leadership).

The more satisfied institutions are above range on four items and above average on the other ten. The more dissatisfied institutions are below average on two items and below range on the other twelve.

The special university sample is above range on seven items and above average on the other seven.

4. GENERAL SATISFACTION WITH OVERALL SPM PROCESSES

On this single item, the scale is from 1 = highly dissatisfied to 4 = highly satisfied. The average (about 3.1) and institutional ranges (2.9 to 3.3) are all close to the "somewhat satisfied" value (3.0), as shown in Figure 4. Private, four-year, and 5000-9999 institutions are slightly more satisfied, and public, two-year, and 10000-and-above institutions are slightly less satisfied in comparison.

The most satisfied institutions averaged 3.9, and the most dissatisfied 2.1, while the special university sample averaged 3.4.

5. LOCUS OF DEVELOPMENT OF SPECIFIC SPM METHODS

This is also a single item, with a 1-to-3 scale (1 = developed primarily with outside assistance, 2 = developed primarily within the institution, and 3 = developed totally within). The average (about 2.3) and institutional ranges (2.0 to 2.4) are all close to the "primarily within" value, as shown in Figure 5. The greatest comparative differences are by size, in which the smallest and largest both score lowest (2.0) and the 1000-4999 group scores highest, i.e., showing a slightly greater tendency to develop specific methods "totally" within the institution.

The most satisfied and dissatisfied institutions are very close to the overall average of 2.3, and the special university sample averaged 2.0.

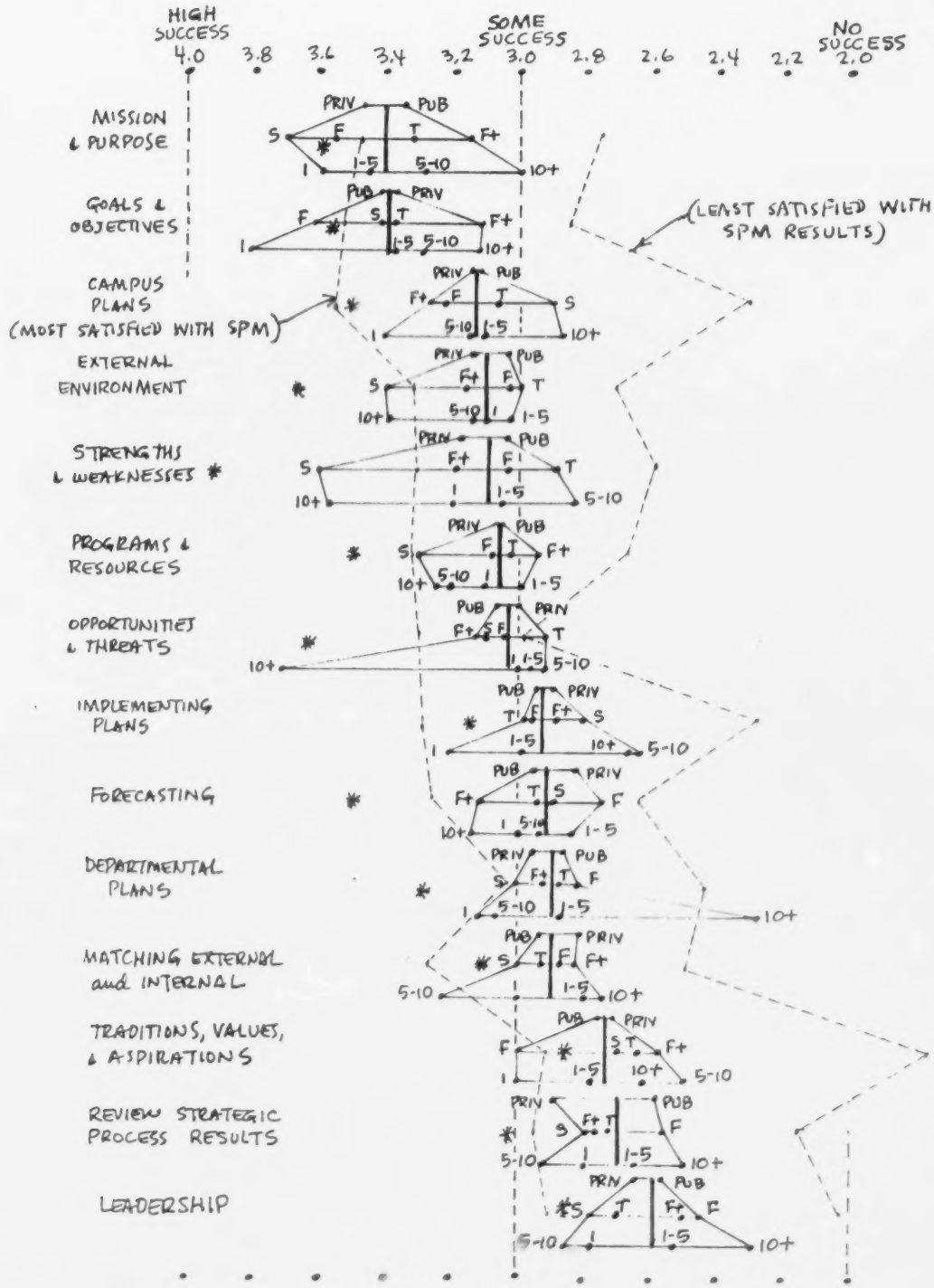


FIGURE 3

AVERAGE RESPONSE SCORES -- ESTIMATED SUCCESS IN SPM PROCESSES

Legend: PUB=Public; PRIV=Private.
T=Two-year; F=Four-year; F+=Four-Plus year; S=Special.
1=300-1000; 1-5=1000-4999; 5-10=5000-9999; 10+=10000+.
=Additional University Sample.

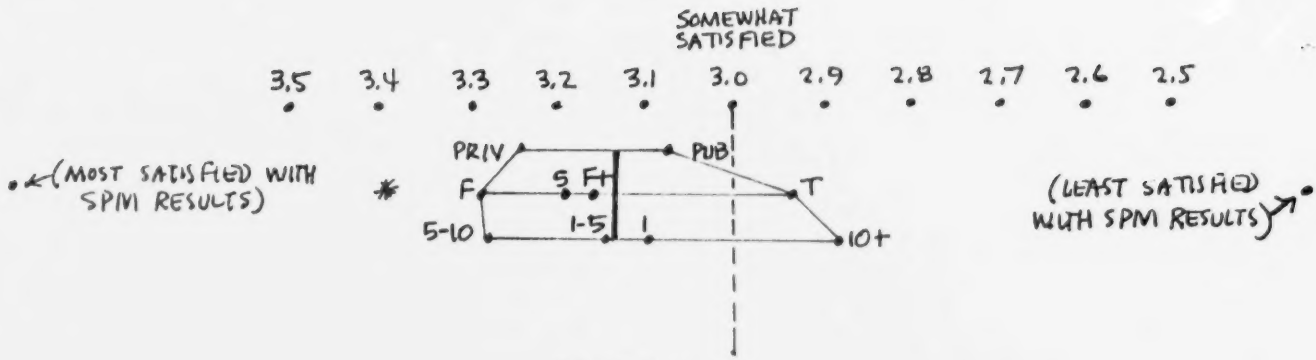


FIGURE 4

AVERAGE RESPONSE SCORES -- SATISFACTION WITH SPM PROCESSES

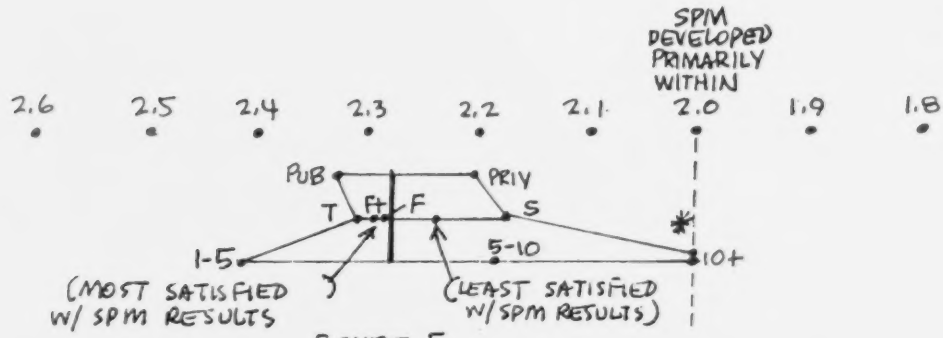


FIGURE 5

AVERAGE RESPONSE SCORES -- LOCUS OF DEVELOPMENT OF SPM METHODS

Legend: PUB=Public; PRIV=Private.
T=Two-year; F=Four-year; F+=Four-Plus year; S=Special.
1=300-1000; 1-5=1000-4999; 5-10=5000-9999; 10+=10000+.
=Additional University Sample.

6. USE OF OUTSIDE AIDS IN DEVELOPING METHODS

Figure 6 presents comparative averages on the "use of outside aids," i.e., consultants, seminars, and written materials. On a yes-no scale (3.0 = yes; 2.0 = no), the overall averages range from 2.5 to 2.7, with a range by institutional categories from 2.3 to 3.0. Figure 8 provides the percent of "yes" responses to these items. These three items rank as follows:

	Average	% Yes
Books, materials	2.7	83%
Consultants	2.6	69%
Seminars/courses	2.5	55%

By control, public institutions show a slightly greater tendency than private institutions to use outside aids, although differences cannot be assigned specific significance. For example, "percent yes" for public and private responses, respectively, for the three items are: Materials, 90% vs. 70%; Consultants, 70% vs. 68%; and Seminars, 57% vs. 52%.

By type, materials are used the most by two-year institutions (96% Yes) and least by special institutions (55% Yes); consultants the most by four-plus year institutions (78% Yes) and least by two-year (60% Yes); and seminars the most by four-year (59% Yes) and least by Special (41%).

By size, materials are used more by 1000-4999 and 10,000+ institutions (85%) and slightly less by small (<1000) institutions (75%); consultants the most by 5000-9999 (92%) and least by small (<1000) institutions (60%); and seminars the most by small (<1000) (63%) and least by 5000-9999 institutions (50%).

The more satisfied institutions are below average on use of books and seminars and below range on use of consultants. The more dissatisfied institutions are average on books, above average on consultants, and below range on seminars.

The special university sample is above range on all three items.

7. SUCCESS IN USE OF OUTSIDE AIDS.

Figure 7 reflects comparative responses regarding estimated usefulness of outside aids (if used). On a scale in which 3.0 is high usefulness, 2.0 moderate, and 1.0 low, overall averages for the three items cluster around 2.3 to 2.4, with a range by institutional category of 1.8 (below moderate) to 2.8 (close to high).

There are slight differences by control, but greater differences by type and size, particularly for seminars and materials.

By type, special institutions show less success with consultants (2.10) but the most comparative success with seminars (2.75) and materials (2.75). Four-plus year institutions indicate least success with seminars (1.85) and materials (2.10).

By size, small institutions (<1000) show the least success with consultants (2.10) and the most success with seminars (2.70) and materials (2.50), in contrast to the large institutions (10,000+) which indicate least success with the latter two aids (2.00 and 1.80).

The more satisfied institutions are above range on usefulness of consultants and above average on seminars and books. The more dissatisfied institutions are below average on usefulness of consultants and books.

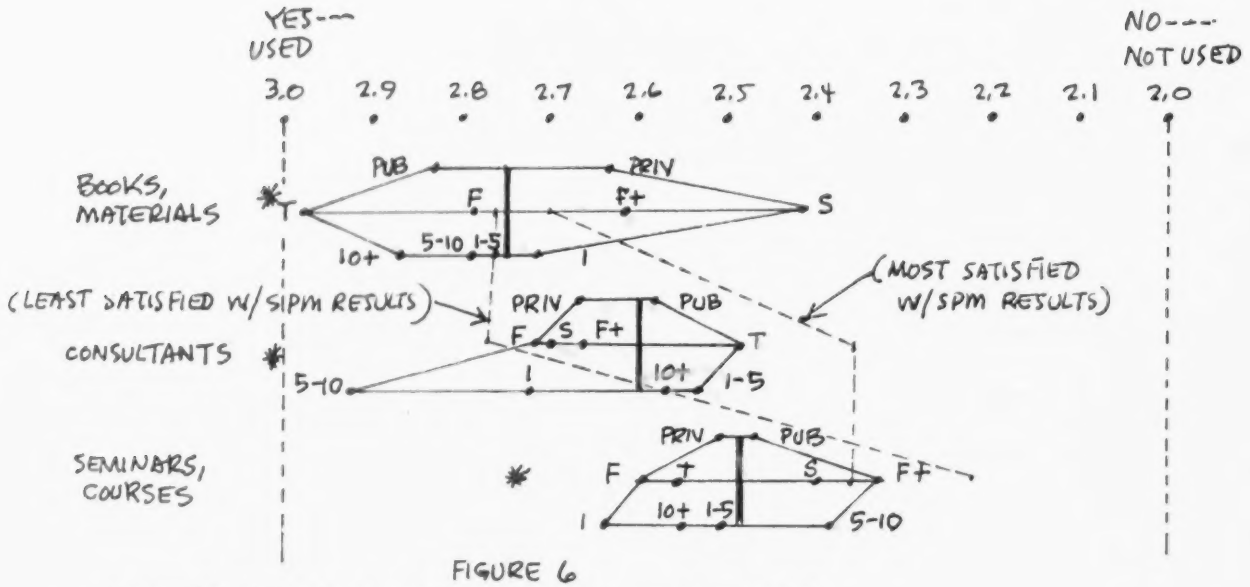


FIGURE 6

AVERAGE RESPONSE SCORES -- USE OF OUTSIDE AIDS

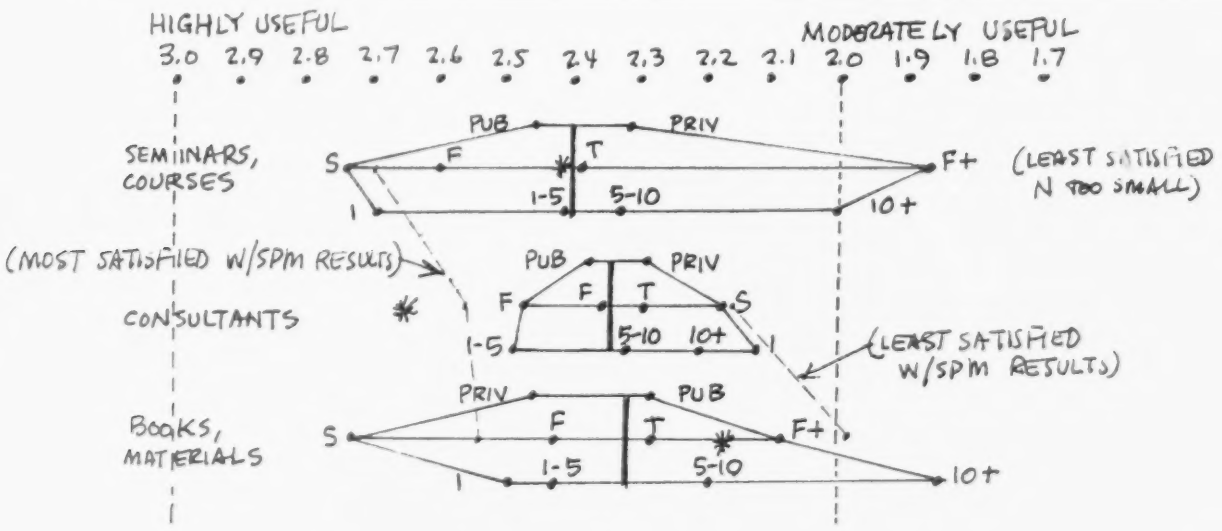


FIGURE 7

AVERAGE RESPONSE SCORES -- USEFULNESS OF OUTSIDE AIDS

Legend: PUB=Public; PRIV=Private.
T=Two-year; F=Four-year; F+=Four-Plus year; S=Special.
1=300-1000; 1-5=1000-4999; 5-10=5000-9999; 10+=10000+.
=Additional University Sample.

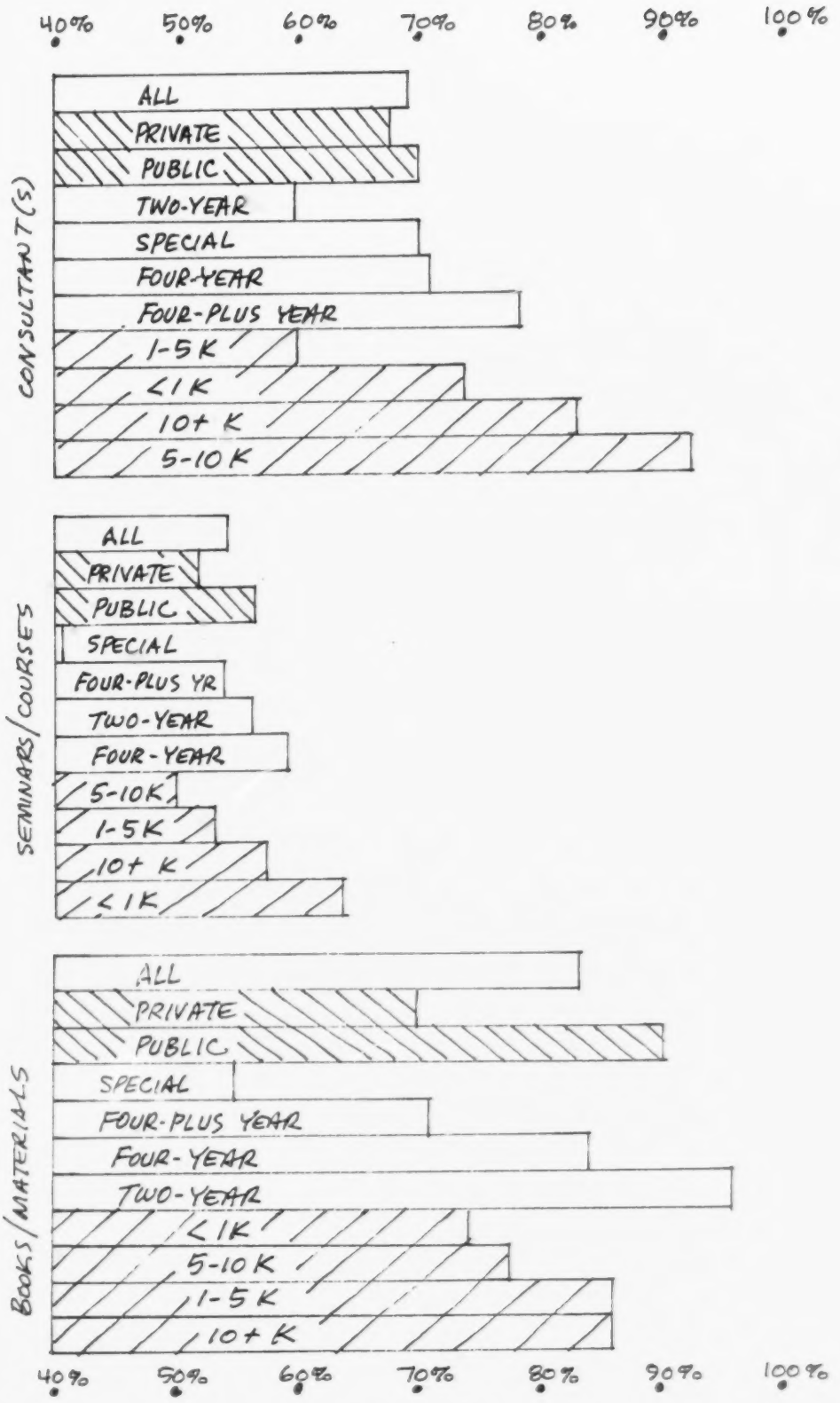


FIGURE 8

PERCENT OF "YES" RESPONSES -- USE OF OUTSIDE AIDS

8. RESULTS/BENEFITS REALIZED FROM SPM

Figure 9 gives average responses to estimated extent of success in the major results and benefits realized from SPM. Items within this topic are clearly generalized and self-rated; nevertheless, they are believed to be a relevant indicator in this study.

Results/benefits items are stated the same way as items under "major purposes for using SPM."

The scale includes 5.0 for high, 4.0 for moderate, 3.0 for low, and 2.0 for none. Averages for all ten items range from about 3,2 to 3.9--i.e., between low and moderate.

These "results/benefits" items rank in descending order of average scores as follows:

Improve overall MANAGEMENT CAPABILITIES. (Moderate Success)
Become more PROACTIVE and less reactive.
Help meet and adapt to needed CHANGE.
Be more able to deal with UNCERTAINTY.
Better identify and meet CLIENT needs.
Sustain or increase ENROLLMENTS.
Improve REPUTATION and QUALITY.
Improve FINANCIAL position.
Become more COMPETITIVE.
CUTBACK programs or resources. (Lower success)

By control, the greatest comparative differences are in meeting Change (private 3.85 vs. public at 3.60), dealing with Uncertainty (private 3.85 vs. public 3.55), and more Competitive (private 3.6 vs. public 2.90).

By type, two-year institutions are highest on improving Management, Reputation and Quality, and Cutbacks. Four-year institutions are highest on dealing with Uncertainty, having improved Enrollments, and Financial position. Four-plus year institutions are highest on being Proactive, meeting Change, Client needs, and being more Competitive. Special institutions are lowest (low to none) on all but one item.

By size, small institutions (<1000) are lowest on six items--Proactive, Change, Clients, Enrollments, Reputation and Quality, and Financial position. Institutions 5000-9999 are highest on five items--Proactive, Uncertainty, Clients, Reputation and Quality, and Financial position--and tied for highest in Cutbacks. Large institutions (10,000+) are highest on two items, Change and being Competitive, and lowest on Uncertainty.

In short, there appear to be no clear or consistent patterns here.

The satisfied institutions are above range on nine items and above average on one, while the dissatisfied group is below average on seven and below range on three.

The special university sample is above range on seven items and above average on three.

9. SATISFACTION WITH RESULTS AND BENEFITS.

Given the typically low to moderate ratings of success found in the responses, it does not seem unusual to also find that institutions tend to be "somewhat satisfied" with overall results and benefits of SPM. The scale is: 4.0 = highly satisfied; 3.0 = somewhat satisfied; 2.0 = somewhat dissatisfied; and 1.0 = highly dissatisfied. The average is slightly above 3.0, e.g., somewhat satisfied, with a range by institutional categories of about 2.7 to 3.2, as shown in Figure 10.

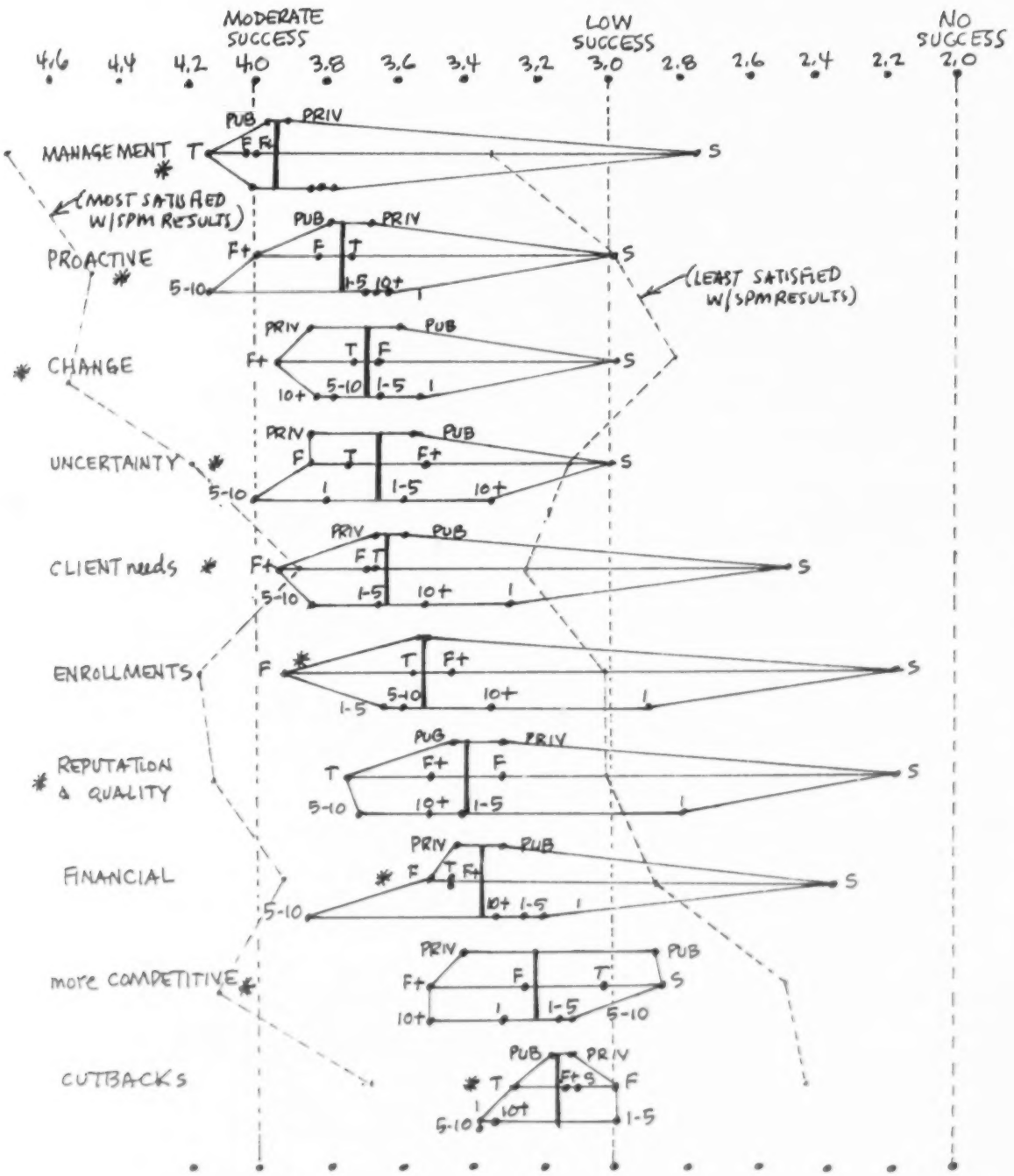


FIGURE 9

AVERAGE RESPONSE SCORES -- ESTIMATED SUCCESS IN SPM RESULTS/BENEFITS

Legend: PUB=Public; PRIV=Private.
T=Two-year; F=Four-year; F+=Four-Plus year; S=Special.
1=300-1000; 1-5=1000-4999; 5-10=5000-9999; 10+=10000+.
=Additional University Sample.

Among the slightly higher averages by categories are private four-year and small (<1000) institutions. At the other end, and slightly less satisfied, are public and two-year institutions. By size, large (10,000+) institutions show the least satisfaction with results and benefits.

This being the item for identifying the more satisfied and more dissatisfied institutions, the more satisfied ones average 4.0 and the more dissatisfied ones 1.8.

The special university sample averages 3.5--well above range.

10. INSTITUTIONAL REQUIREMENTS/CONDITIONS FOR DOING SPM.

Average SPM practices regarding the number of years to devise and conduct a complete process, number of faculty-staff involved, organizational decisionstructuring, technical requirements (information, group task skills, and communication methods), estimated dollar resources, and actual versus estimated extent of these requirements are presented below.

a. Estimated Timing (Years).

Estimated timing (years) to devise, conduct an SPM process, and length of time that SPM has been in use are portrayed in Figure 11.

These represent "rough guesses" and are general indicators. As such, they show an average of a little over a year to devise SPM methods and a year and three fourths to conduct a complete SPM process. SPM has been in use an average of three years.

By institutional categories, those taking somewhat longer include private, four-year, and (except for length in use) small institutions. Public institutions, conversely, take less average time. Special institutions take considerably less time to devise methods, and show much less length of time in using SPM. Large institutions take less time to devise methods and conduct a complete SPM process.

The satisfied and dissatisfied institutions, and university sample, are all slightly above average on years to devise, complete a process, and length in use.

b. Staff and Faculty Involved.

On the average, 27 staff and 43 faculty are involved in the SPM process, as shown in Figure 12. By control, the number of staff ranges from 21 for public to 37 for private institutions, but the number of faculty is about identical at 42. By type, special institutions average 8 staff and 9 faculty, and four-plus year institutions average 60 staff and over 90 faculty. By size, the range is from 12 staff and 18 faculty at small institutions to 86 staff at large (10,000+) institutions and about 100 faculty at upper-medium size institutions (5000-9999).

The satisfied, dissatisfied, and university institutions are all below average on the number of both staff and faculty involved.

c. Organizational Structuring for Decisions.

Figure 13 presents the reponse to whether organizational structuring has been required for SPM decision processes. On a scale in which 2.0 = "some required" and 1.0 = "none required," the average response is about 1.75, suggeting that not a great deal is required. Slightly more is required for private, four-year, and both small and large institutions.

Satisfied and dissatisfied institutions are close to average. The university sample, however, scored above range--2.0, i.e., "some" structuring required.

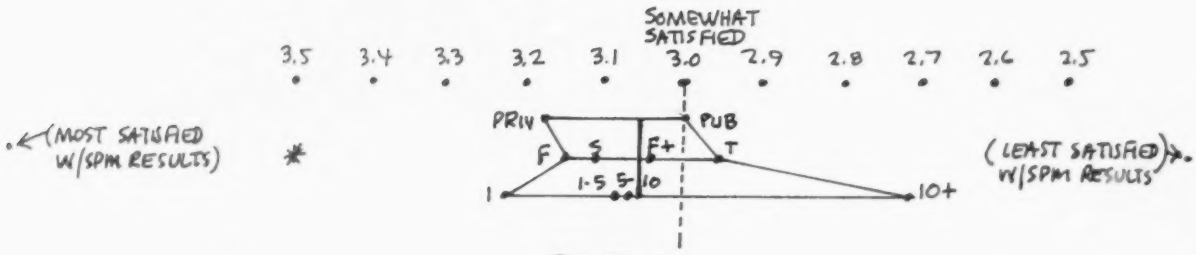


FIGURE 10

AVERAGE RESPONSE SCORES -- SATISFACTION WITH SPM RESULTS & BENEFITS

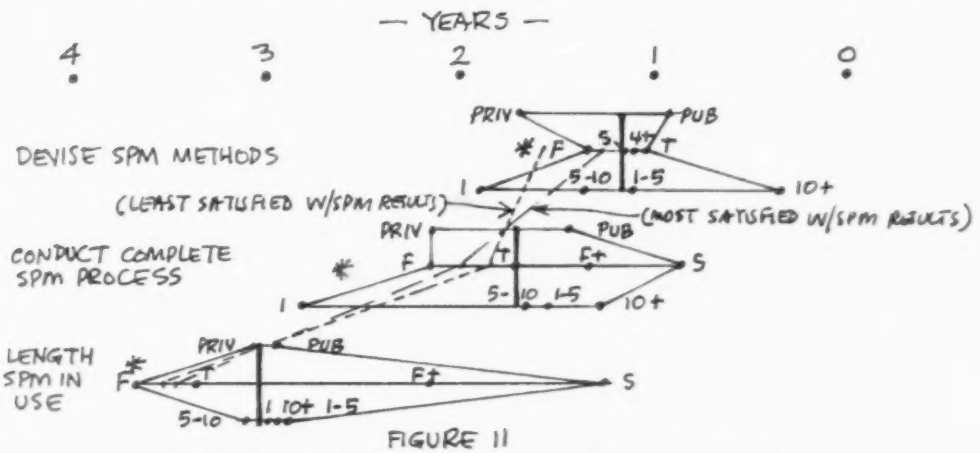


FIGURE 11

AVERAGE RESPONSES -- ESTIMATED SPM TIMING

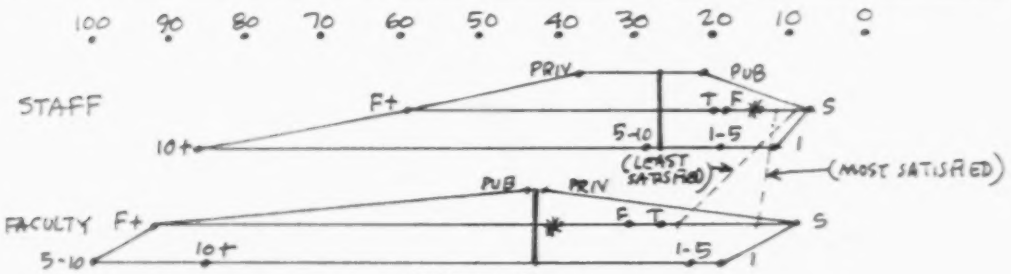


FIGURE 12

AVERAGE NUMBER FACULTY-STAFF INVOLVED IN SPM

Legend: PUB=Public; PRIV=Private.
T=Two-year; F=Four-year; F+=Four-Plus year; S=Special.
1=300-1000; 1-5=1000-4999; 5-10=5000-9999; 10+=10000+.
=Additional University Sample.

d. Technical Requirements.

A general indication of SPM requirements for information gathering and processing, group task skills, and communication methods is provided in Figure 14. Average responses fall between 2.0 (some additional required) and 3.0 (much additional required). In rank order, these requirements average as follows:

additional information	2.61
additional communication methods	2.46
additional group task skills	2.33

By control, private institutions require slightly more additional information gathering and processing, and communication methods, than public institutions. The reverse, however, is true for group task skills.

By type, four-year institutions require relatively more information gathering and processing, and two-year institutions require more communication methods and group task skills than other types. Four-year institutions average the least added requirements for all three items combined, however.

By size, small institutions have relatively more added requirements for information gathering and processing and for communication methods. Upper-medium size institutions (5000-9999) have more group task skill requirements. With relatively less added requirements are: upper-medium with less information gathering and processing; large (10,000+) with less communication methods; and lower-medium (1000-4999) with less group task skills.

The more satisfied institutions are below average on information, a little above average on communication methods, and average on group task skills. The more dissatisfied institutions are above average on information (i.e., they required more development), a little below average on communication, and average on group task skills.

The university sample required less technical development on all three items, scoring below average on information and communication and below range on group task skills.

e. Estimated Dollar Resources Required.

Direct and indirect "start-up" and "ongoing annual" SPM costs are reflected in Figure 15. Overall averages for the following four items range from about $18 thousand to $47 thousand.

direct start-up costs	$47 thousand
indirect start-up costs	29 thousand
direct ongoing annual costs	21 thousand
indirect ongoing annual costs	18 thousand

By institutional categories, as might be expected, averages have a much greater range--from $7 thousand to nearly $100 thousand.

By control, average public institution costs are higher than private institution costs in all four instances.

By type, four-plus year institutions show the highest direct start-up costs. Special institutions show the highest indirect start-up and direct ongoing costs. Two-year institutions have the lowest average direct start-up and indirect start-up costs. Four-year institutions have the lowest direct ongoing costs.

By size, 5000-9999 institutions are highest in all instances except indirect ongoing costs (which shows "n/a" data because so few institutions reported an estimate for is item that resulting "n's" by category were too small to produce acceptable averages. Also, n's for 10,000+ institutions were too small to produce acceptable averages.) Two-year institutions are lowest on direct and indirect start-up costs.

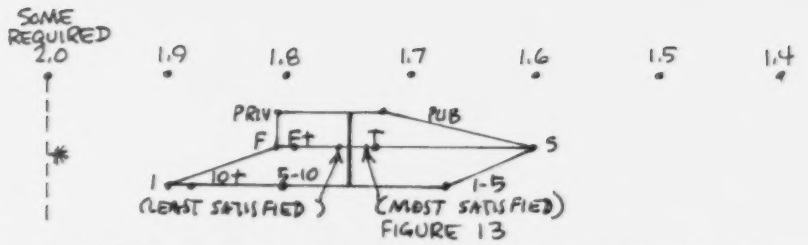


FIGURE 13

AVERAGE RESPONSE SCORES -- ORGANIZATIONAL STRUCTURING REQUIRED FOR SPM DECISION PROCESS

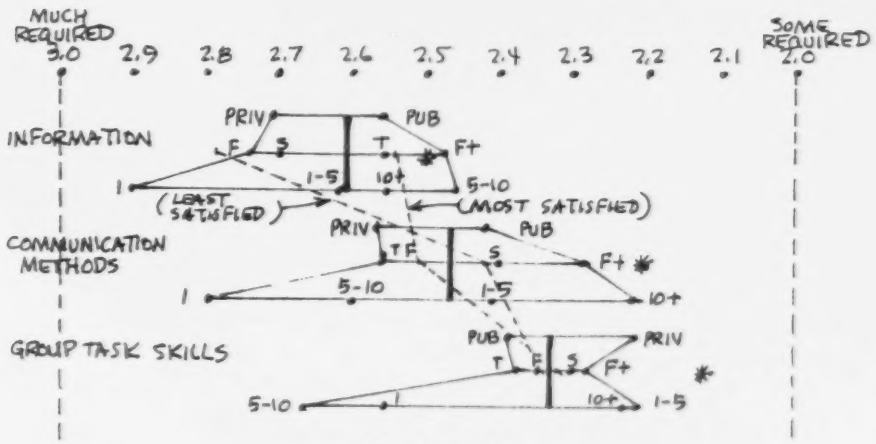


FIGURE 14

AVERAGE RESPONSES -- TECHNICAL REQUIREMENTS (ADDITIONAL INFORMATION, COMMUNICATION, & GROUP TASK SKILLS)

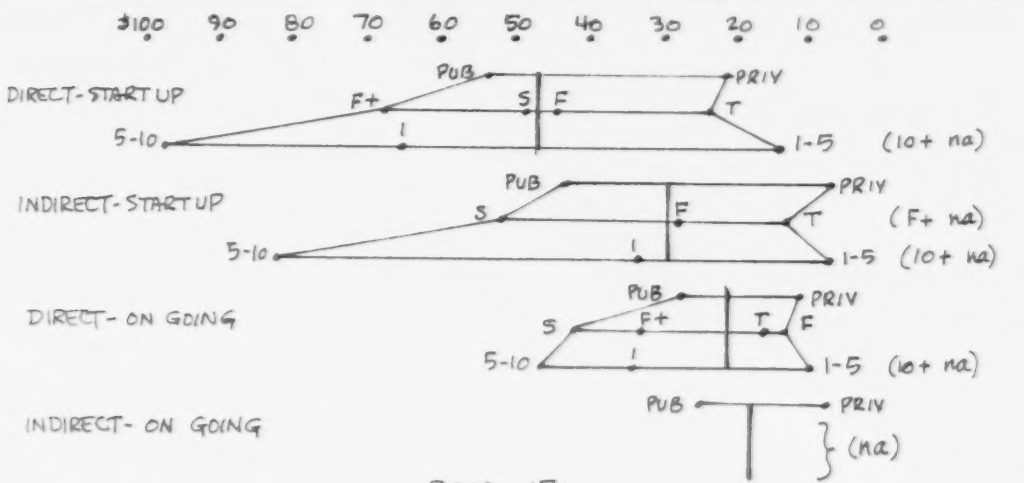


FIGURE 15

ESTIMATED DOLLAR RESOURCES REQUIRED FOR SPM -- START UP & ONGOING

Legend: PUB=Public; PRIV=Private.
T=Two-year; F=Four-year; F+=Four-Plus year; S=Special.
1=300-1000; 1-5=1000-4999; 5-10=5000-9999; 10+=10000+.
=Additional University Sample.

The "n" for satisfied, dissatisfied, and university grouping were too small to derive meaningful figures.

f. Actual versus Expected Institutional Requirements/Conditions for SPM.

Respondents indicated whether actual institutional requirements and conditions are more or less than expected, or about as expected. Figure 16 summarizes average responses. On a scale for which 2 = "almost as expected" and 3 = "more then expected," overall averages range from 2.0 to 2.4, e.g., slightly more than expected. In rank order, from "more than expected" to "about as expected," the kinds of requirements are:

timing
technical items
dollars
decision structuring
faculty-staff

Some noticeable differences appear by institution categories.

By control, there is a tendency for (1) public institutions to experience slightly more than expected years to devise and complete an SPM process, ongoing SPM dollars, and number of faculty-staff , and (2) private institutions to experience slightly more than expected technical requirements (information, communication, group task skills), and start-up dollars.

By type, two-year schools experience slightly more-than-expected yars to devise and complete an SPM process and more information requirements. Four-plus year institutions experience slightly more-than-expected start-up and ongoing dollars and more faculty-staff. Special institutions require slightly more communication and group task skills, less years to devise and complete SPM, and less faculty-staff.

By size, small institutions have noticeably more-than-expected technical requirements, ongoing dollars, and structuring for decisions, and less faculty. Institutions 1000-4999 tend to be closer to expectations on years to complete the process, communication and group task skill requirements, start-up and ongoing dollars, decision structuring, and staff. Institutions 5000-9999 have slightly more-than-expected years to devise and complete SPM and more faculty-staff, and closer to expected information requirements.

The more satisfied institutions are below average or below range on all but one item, i.e., they tend to find actual requirements for SPM about or slightly less than expected. The more dissatisfied institutions show mixed results, and are above range on actual years to complete an SPM process but below range on four items--years to devise SPM, start up dollars, organizational structuring, and number of staff involved.

The special university sample also shows mixed results, with above range scores on years to devise and complete the SPM process and below range scores on additional information and communication requirements and on start up and on going dollars.

11. PROBLEMS ENCOUNTERED IN SPM.

Figure 17 shows average responses to typical/frequent problems with SPM. Overall averages range from about 2.2 to 3.1, on a scale in which 4 = significant, 3 = some, and 2 = none. The average range suggests that none of these are serious problems.

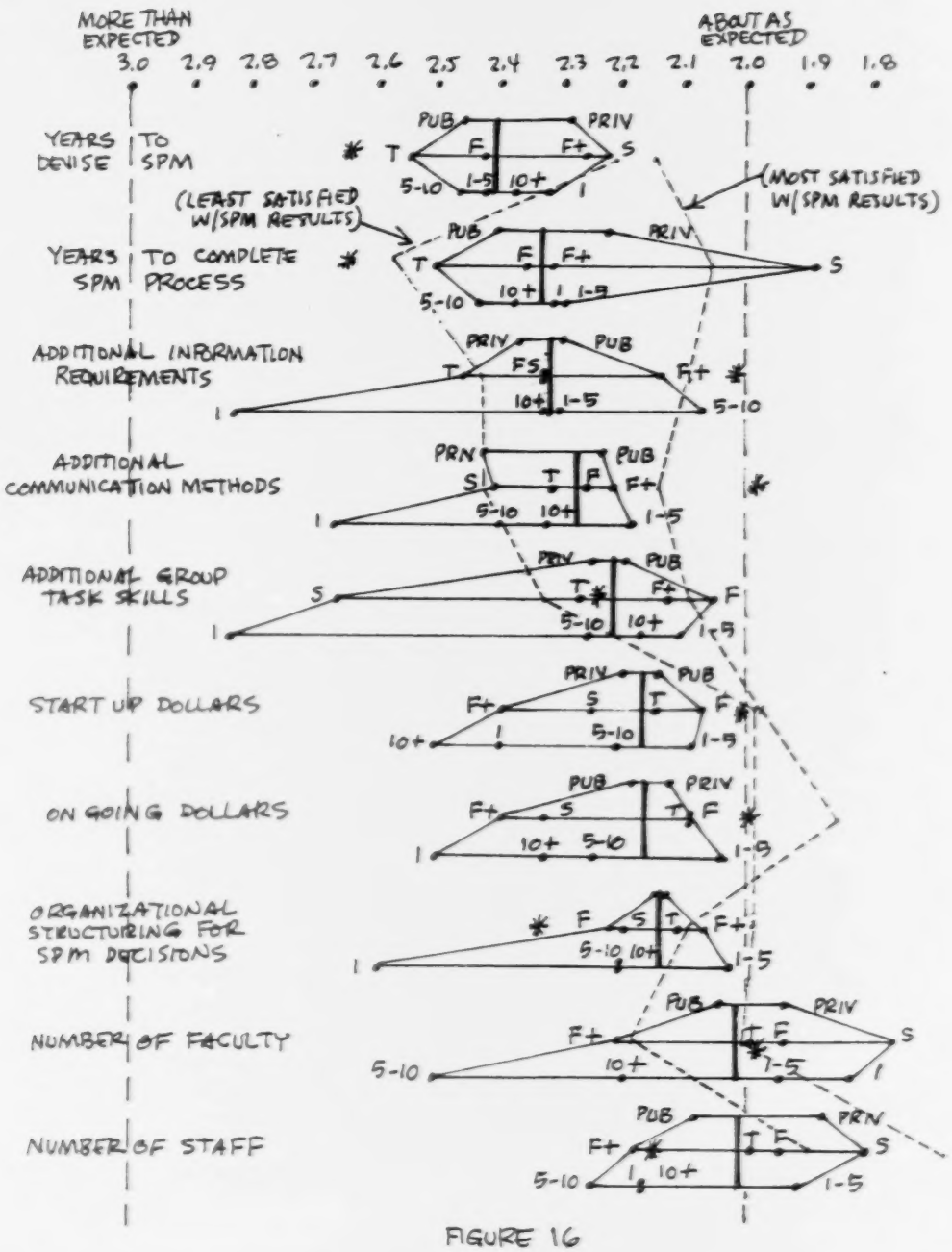


FIGURE 16

AVERAGE RESPONSES -- ACTUAL VS. EXPECTED INSTITUTIONAL REQUIREMENTS and CONDITIONS

Legend: PUB=Public; PRIV=Private.
T=Two-year; F=Four-year; F+=Four-Plus year; S=Special.
1=300-1000; 1-5=1000-4999; 5-10=5000-9999; 10+=10000+.
=Additional University Sample.

In rank order, for all institutions, these SPM problems are:

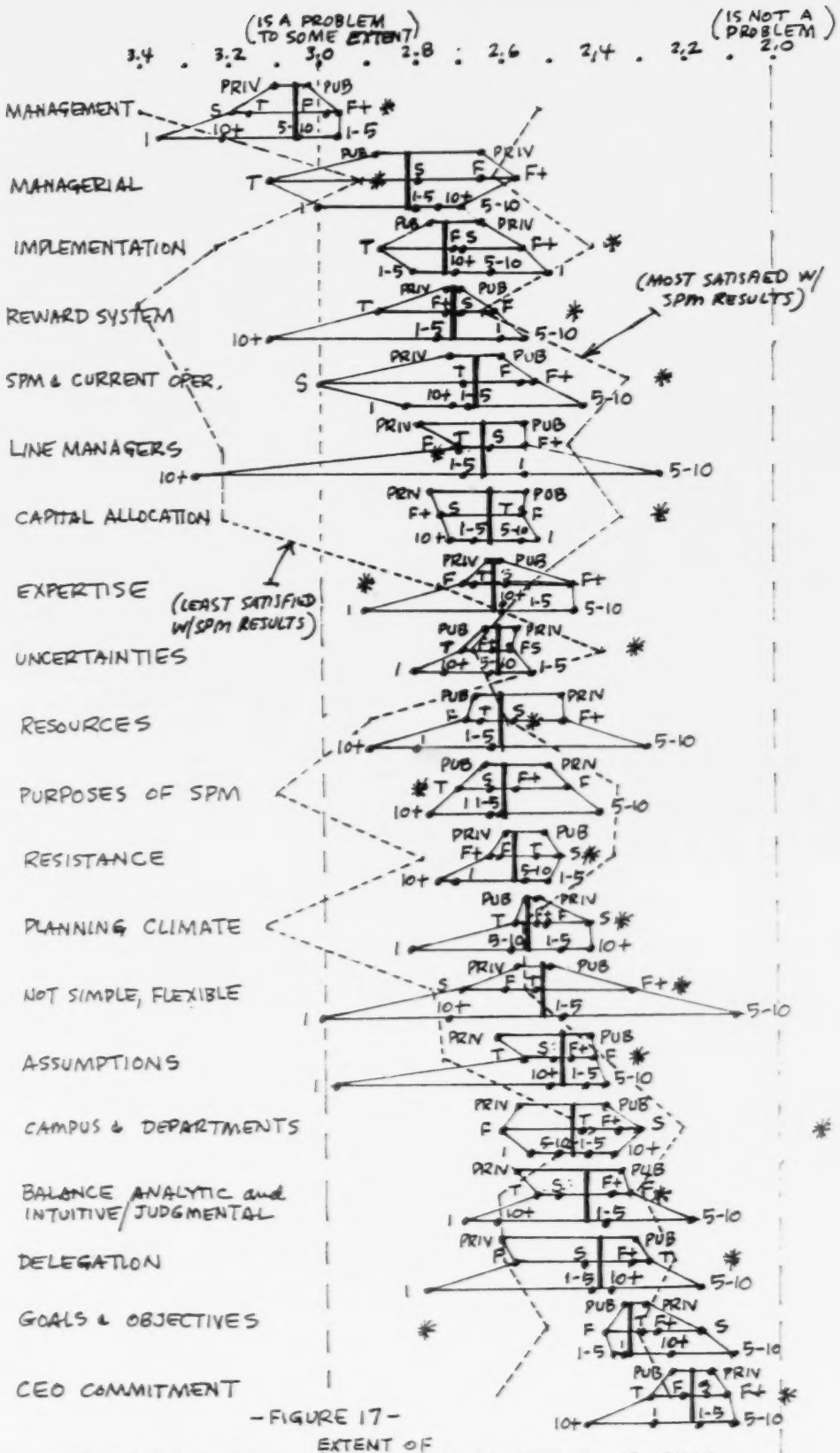
SPM not interwoven into entire MANAGEMENT process. ("somewhat of a problem")
Insufficient MANAGERIAL conceptual skills, understanding and use of analytical tools.
Insufficient attention to implementation of SPM.
Insufficient management REWARD SYSTEM.
Insufficient focus on both SPM and CURRENT OPERATIONS.
LINE MANAGERS not accepting and being involved in SPM.
Insufficient link between CAPITAL ALLOCATION and SPM.
Insufficient EXPERTISE available to do SPM.
Unrealistic appraisal of UNCERTAINTIES.
Insufficient RESOURCES available for SPM.
PURPOSES of SPM not clearly identified.
Too much faculty-staff RESISTANCE to SPM.
Planning CLIMATE not congenial.
SPM system not SIMPLE, FLEXIBLE, well-designed.
Failure to identify/evaluate planning ASSUMPTIONS.
Failure to evaluate both CAMPUS level and DEPARTMENTAL plans.
No BALANCE between analytical processes and initiation, judgments, and values.
Too much of SPM delegated to a "planner" or planning office.
Failure to develop suitable GOALS and OBJECTIVES.
CHIEF EXECUTIVE OFFICER not personally committed to SPM. (close to "not a problem")

Heading the rank order list, and rated as somewhat of a problem, is "SPM not interwoven into entire management process." This shows as slightly more of a problem for private institutions, special institutions, and small (<1000) institutions. The next greatest problem is "insufficient managerial conceptual skills and understanding and use of analytical tools," which is slightly more problematic for public, two-year, and small institutions.

Looking down the list, it is apparent that SPM problems tend to be slightly greater for two-year institutions, which score highest on half of the items. Four-plus year institutions tend to rate these as lesser problems, being lowest on about half.

Much greater differences are evident by size. For example, small institutions are higher on over half of the items, and large institutions on over a third. Institutions 5000-9999 are lower on two-thirds of the problems. The kinds of problems associated with these tendencies by size of institutions are as follows:

PROBLEMS RATED HIGHER		PROBLEMS RATED LOWER
<1000	10,000 plus	5000-9999
Management	Reward System	Management Skills
Management Skills	Line Managers	Reward System
SPM & Current Oper'ns.	Capital Allocation	SPM & Current Oper'ns.
Expertise	Resources	Line Managers
Uncertainties	Purposes	Expertise
Climate	Resistance	Resources
Simple, Flexible	Chief Executive	Purposes
Assumptions		Simple, Flexible
Campus & Dept.		Assumptions
Balance		Balance
Delegation		Delegation



-FIGURE 17-

AVERAGE RESPONSES -- EXTENT OF PROBLEMS ENCOUNTERED IN SPM

Legend: PUB=Public; PRIV=Private.
T=Two-year; F=Four-year; F+=Four-Plus year; S=Special.
1=300-1000; 1-5=1000-4999; 5-10=5000-9999; 10+=10000+.
*=Additional University Sample.

The greatest differences in averages, by size, are in the Reward System, Line Managers, Resources, SPM Not Simple and Flexible, Assumptions, and Delegation.

The satisfied institutions are below average or below range on 16 of the 20 items, suggesting that they experienced or perceived fewer problems with SPM. The more dissatisfied institutions, on the other hand, are above average or above range on 18 out of 20, indicating that they experienced or perceived greater problems with SPM.

The special university sample is below average or below range on 15 out of 20 of the items, indicating fewer problems with SPM. (Twelve of these scores were below range of the averages for the other institutional categories.)

12. SPM WITH TIME AND EXPERIENCE.

The last quantifiable item in the survey of practices and benefits is whether, with time and experience, SPM gets easier. Here are the responses.

	EASIER	MORE DIFFICULT	SAME
All	84%	7%	9%
Public	86%	7%	7%
Private	82%	6%	12%
Two-Year	82%	0%	18%
Four-Year	88%	6%	6%
Four-Plus Yr.	90%	0%	10%
Special	71%	29%	0%
<1000	57%	30%	13%
1000-4999	95%	5%	0%
5000-9999	75%	0%	25%
10,000 Plus	100%	0%	0%

The majority of institutions believe that SPM gets easier over time. Special and small institutions seem to have more difficulty, however.

B. ANALYSIS OF VARIANCE.

Analysis of variance was performed, by institution type and size, to determine on a statistical basis for each of the survey items whether institutions differ significantly, by category, in their responses. (Did they come from different populations?) Oneway ANOVA with multiple comparison was used for this analysis.

By type, sixteen items (out of the 100) had a statistically significant difference, i.e., very small probability (ranging from .001 to .086) that differences as great as those found could have occurred by chance. Eleven of these items with a statistically significant difference also had a multiple comparison which produced two or more subsets of institutions, providing a basis for revealing differing institutional types. Figure 18 displays these multiple comparisons.

Looking at which types were not common in the subsets, in ten cases, special institutions were at one end of the ranking and were in different subsets than two-year institutions in seven of these, than four-year in two, and than four-plus year in one instance. In the other item that was bot statistically different and produced multiple comparison subsets, two-year institutions differed from foour-plus year institutions.

These eleven items were: three SPM steps engaged in (Mission and Purpose, assessing External Environment, and identifying external Opportunities and Threats); one outside aid (books & materials); four

F-Ratio		(Lower Score.....Higher Score)			
STEPS ENGAGED IN:					
.001	Mission & Purpose	Two-Yr	Four-plus	Four-plus	Four-Yr
		Four-Yr	Special		
.061	Assess.Ext.Environ.	Two-Yr	Four-Yr	Four-plus	Four-Yr
		Four-Plus	Special		
.079	Ext.Opport.& Threat	Two-Yr	Four-plus	Four-Yr	Four-plus
		Four-Yr	Special		
OUTSIDE AIDS:					
.011	Books & Materials	Special	Four-plus	Four-Yr	Four-plus
		Four-Yr	Two-Yr		
RESULTS AND BENEFITS:					
.015	Reput'n. & Quality	Special	Four-Yr	Four-plus	Four-Yr
		Four-plus	Two-Yr		
.001	Sust/Incr.Enroll'ts	Special	Four-plus	Two-Yr	Four-Yr
.002	Improve Management	Special	Four-plus	Four-Yr	Two-Yr
.025	Prov.Client Needs	Special	Two-Yr	Four-Yr	Two-Yr
		Four-Yr	Four-plus		
ACTUAL VS. EST. REQS. & COND'S:					
.056	Time to Complete	Special	Four-plus	Four-Yr	Four-plus
		Four-Yr	Two-Yr		
.045	Group Task Skills	Four-Yr	Four-plus	Two-Yr	Four-plus
		Two-Yr	Special		
PROBLEMS:					
.020	Insuff.Mgr.Skills	Four-pl	Four-Yr	Special	Four-Yr
		Special	Two-Yr		

Multiple Comparisons of variables by institutional type, made from Oneway ANOVA, produced these eleven items for which F-ratios ranging from .001 to .079 suggest statistically significant differences, i.e., responses as great as those found are unlikely to result from chance but, instead, are likely to result from differences in the populations (types of institution).

MULTIPLE COMPARISONS BY INSTITUTIONAL TYPE

FIGURE 18

SPM results and benefits (Reputation and Quality, sustaining/increasing Enrollments, improving overall Management, and better identifying/providing Client Needs); two actual versus estimated requirements (time to complete SPM process and group task skills); and one problem (insufficient Managerial Conceptual Skills).

By size, nineteen items (out of 100) had a statistically significant difference, ranging from .001 to .085, of which six also had a multiple comparison producing two subsets of institutions. Figure 19 displays these multiple comparisons. All four size categories were found in the differing subsets, i.e., there was no recurring pattern as in the comparison by type of institution.

In summary, ANOVA tests showed some recurring differences by institutional type--in terms of statistical significance--but showed no really strong or consistent patterns of differences.

C. SELECTED CORRELATIONS.

Selected correlations of item responses were generated and examined by institutional control and size, as well as for all institutions combined. Given the large number of total survey items (100), running correlations on selected variables was done for practical reasons and intended to serve as an indicator of how some of the topics relate to each other (i.e., how they "go together"). Correlation values of .60 and above were used as a gauge of reasonable, potential relationships.

Items examined include:

Process and Success in Processes.
Processes and Locus of Developing SPM.
Results-and-Benefits and Locus.
Satisfaction with Processes and Satisfaction with Results-and-Benefits
Results-and-Benefits and Purposes

Results of the correlation analysis are described below for each of these pairs of variables.

(a) Extent of Processes Engaged in and Estimated Success in Processes.

Correlations were run on each of these two variables (14 pairs) by institution control, type, and size. In about 60% of the cases, correlations above r=.60 were found, suggesting a tendency for success in processes to be relatd to the extent to which processes are engaged in. In other words, the greater the extent to which an SPM process is engaged in by an institution, the greater is the likelihood of achieving success in that process. This correlation occurs more frequently in the following processes:

assessing internal strengths and weaknesses.
evaluating institutional programs and resources.
identifying external opportunities and threats.
implementing strategic plans.
review and evaluation of strategic process results.

By categories of institution, this correlation appears more frequently for private, small (<1000), and 1000-4999 size institutions.

(b) Success in Processes/Steps and Locus.
(c) Results and Benefits and Locus.

In both of these, there are virtually no correlations above .60, suggesting no apparent strong connection between locus of development of SPM methods and either success in processes or estent of SPM results and benefits.

F-Ratio		(Lower Score.....Higher Score)			
INSTIT. REQUIREMENTS:					
.025	Group Task Skills	Four-Yr	Special	Two-Yr	
			Special	Two-Yr	Four-Yr
ACTUAL VS. EST. REQS. & COND'S:					
.057	Org.Struct./Decis.	Four-Yr	Four-plus	Special	
			Four-plus	Special	Two-Yr
.015	Add.Info.Gath.Proc.	Four-pl	Four-Yr	Special	
			Four-Yr	Special	Two-Yr
.006	Group Task Skills	Four-Yr	Special	Four-plus	
			Special	Four-plus	Two-Yr
PROBLEMS:					
.006	Not simple/flexib.	Four-pl	Four-Yr	Special	
			Four-Yr	Special	Two-Yr
.012	Mgrs.not involved	Four-pl	Two-Yr	Four-Yr	
			Two-Yr	Four-Yr	Special

Multiple Comparisons of variables by institutional size, made from Oneway ANOVA, produced these six items for which F-ratios ranging from .006 to .057 suggest statistically significant differences, i.e., responses as varying as those found are unlikely to result from chance but, instead, are likely to result from differences in the populations (types of institution).

MULTIPLE COMPARISONS BY INSTITUTIONAL SIZE

FIGURE 19

BEST COPY AVAILABLE

(d) Satisfaction with Processes/Steps and Satisfaction with Results and Benefits.

Only scattered correlations appear between these two measures. The few found tend to be in Satisfaction with Processes and Satisfaction with Results and Benefits: (a) Satisfaction with Processes--implementing plans; formulating departmental and campus plans; forecasting--and (b) Satisfaction with Results and Benefits--became more proactive and less reactive; improved overall management capabilities; cutbacks in programs or resources; more able to del with uncertainty; and improved financial position. By institution size, higher correlations tend to appear for 10,000+ and 5000-999 sizes.

(e) Degree of Importance of SPM Major Purposes and Extent of Success in Results and Benefits.

Few moderate to strong correlations were found. None were found for all institutions combined; only one by control (private); and by size in about 20% of the measures.

In summary, examination of correlations among selected items and by institutional categories suggests no statistical relationships except between the extent and the success of SPM processes.

Broad relationships appear only in the (non-statistical) relative ranking or positioning of institutions by size and type as follows:

- Importance of Purpose and Success in Results and Benefits: No relationship; a slight tendency for high importance to tie to lower success, by size.

- Use versus Usefulness of Outside Aids: Slight tendency for an inverse relationship--i.e., the more one is used, the less useful it is rated, by type and size.

- Years to Devise and Conduct SPM versus Technical Requirements: there is some tendency for a longer time to devise and conduct to tie to increased technical requirements (information gathering and processing, group task skills, and communication methods), by type and size.

- Satisfaction with Results and Benefits versus Problems Encountered: a tendency for an inverse relationship, i.e., the more satisfied with results and benefits, the less problems, by type and size.

- Technical Requirements versus Problems Encountered: a tendency for a direct relationship, i.e., the greater the problems encountered, the greater the need for technical requirements.

D. COMMENTS FROM THE SURVEY.

Comments were solicited in three parts of the survey: (1) especially helpful outside aids; (2) satisfaction and dissatisfaction with SPM results and benefits; and (3) observations, suggestions, recommendations concerning SPM in the terms of: value of SPM, most difficulty, things to do, things to not do, things to watch for, ways to save time, and secrets to successful SPM.

Approximately 570 total comments were received in the responses, many of which were duplicate or similar in nature. (These comments appear in Attachment 4 by institution control, size, and type, for reference. The topics and nature of comments appear widely distributed by institution categories, rather than clustering into any pattern.)

Table A offers a synopsis of the general topic areas of these comments, suggestions, and advice. Nearly 50 broad topic areas resulted across the 9 items for satisfaction, dissatisfaction, value, difficulty, do's, don't's, watch-fors, time-savers, and secrets to SPM. The matrix in Table A permits, at a glance, a sense of topics by each item or across all nine "comment" items. It shows, for example, that a topic such as "involvement

TABLE A :

SYNOPSIS OF MAJOR TOPICS OF COMMENTS, SUGGESTIONS, ADVICE

	MOST SATISF	MOST DISSAT	IMP VALUE	MOST DIFFICLT	SURE DO	SURE DONT	WATCH FOR	WAYS SAVE TIME	SPM SECRET
Involvement of staff/faculty	XX	XX	XX	XX	XX	XX	XX	XX	XX
Time--requirement/allowance		XX	XX	XX	XX	XX	XX		XX
Communication among staff/fac.	XX	XX	XX	XX	XX		XX		XX
Understanding SPM; educating			XX		XX	XX		XX	XX
Commitment (CEO;participants)		XX	XX		XX	XX	XX		XX
Efficient/effective process	XX	XX	XX	XX	XX	XX		XX	XX
Link planning & budgeting	XX	XX		XX	XX	XX			
Data and analysis	XX	XX		XX	XX	XX	XX	XX	
Cooperation; teamwork				XX		XX	XX		XX
Paperwork; documentation		XX	XX	XX		XX	XX		
Realistic, rational objectives			XX			XX	XX		
Adapt/respond to change	XX	XX	XX				XX		
Assignment of responsibilities					XX	XX	XX		XX
Keep it simple				XX	XX		XX		XX
Holding to goals			XX	XX			XX		
Outside help		XX			XX			XX	
Morale	XX		XX			XX	XX		
Direction	XX		XX						XX
Expectations too high				XX		XX	XX		
Followup; evaluate; update		XX		XX	XX		XX		
Good committee		XX			XX			XX	
Preparation; know what doing								XX	XX
Effective, designated leadership		XX						XX	XX
Capable support staff				XX				XX	XX
Proactive control of future	XX		XX						
Improved finances	XX	XX							
Setting goals & objectives	XX				XX				
Measuring progress			XX						XX
Change thinking			XX	XX					
Results; action	XX		XX						
Doing SPM (incl. starting)			XX	XX					
Vested interests				XX			XX		
Being over-analytical						XX	XX		
Objectivity with data				XX			XX		
Staying with SPM				XX		XX			
Incorp. into org'l. lifestyle								XX	XX
Enrollment growth	XX								
Incompleteness		XX							
Resource allocation decisions			XX						
Conflict resolution			XX						
Show SPM importance				XX					
Match goals & resources				XX					
Don't have planner do						XX			
Polarized ideas							XX		
Minor problems cause delay							XX		
Establish subgroups								XX	
Off-campus meetings								XX	

of staff/faculty" appears across all items and is a success factor for some and a problem area for others, e.g., it is also a time-saver and a secret to successful SPM.

Other frequently mentioned topics include: the amount of time required for SPM; communication among staff/faculty; educating and understanding of SPM; commitment to SPM of CEO's and participants; creating an efficient/effective SPM process; linking planning and budgeting; and having sufficient data and analysis.

Highlights of comments for each item are summarized below.

1. Especially helpful outside aids. In 16% of the cases, respondents commented on helpful outside aids.

Books/materials	8 (3 listed Keller's book; 2 NCHEMS materials)
Seminars/Workshops	7 (2 listed NCHEMS)
Consultants	7
Planning Models	2
Agency	1
	21

2. Satisfaction/dissatisfaction with SPM results and benefits. Over 60% of respondents provided comments on these items.

   The greatest areas of satisfaction were:

   - o the way that the SPM process provides/establishes efficient, coordinated planning (n=13).
   - o communication and focusing of institutional priorities and mission, understanding, and improved awareness (n=10).
   - o involvement of staff/faculty, teamwork, and cooperation (n=7).

   Greatest dissatisfactions were:

   - o insufficient staff time and/or too slow progress to develop SPM (n=9).
   - o lack of SPM commitment/acceptance from staff/faculty (n=6).
   - o data collection & analysis too rigorous or inadequate (n=5).

3. Observations, suggestions, recommendations concerning SPM.

   The most important value of SPM is:

   - o it gives direction and consistency in setting goals, objectives, and priorities (n=16).
   - o improved communication of planning/direction among management (n=8).
   - o better control of the future; vision (n=8).
   - o aids decision making and resource allocation (n=7).

   The most difficult thing about SPM is:

   - o doing SPM; getting started, implementing, and continuing (n=10).
   - o staff/faculty commitment and willingness to be involved (n=9).

- o time required to perform SPM, and length of time to results (n=7).
- o showing the importance and value of SPM (n=7).

Be sure to do the folloowing:

- o involve many staff/faculty--a representative cross-section of the institution--in SPM (n=15).
- o clearly communicate the SPM process and timeframe, including training, reports, and feedback (n=13).
- o get SPM commitment from the CEO and top administrators (n=11).

Be sure that you don't do the following:

- o involve only a few staff/faculty, or work in isolation (n=6).
- o impose preemptive planning from the top down (n=5).
- o let SPM die on the shelf (n=3).
- o over emphasize the statistical side of SPM (n=3).
- o create the impression that the "planning officer" is the SPM organizational planner (n=3).
- o set objectives you can not attain (n=3).

Things to watch out for are:

- o vested interests, hidden agendas, territorial situations (n=6).
- o unrealistic timetable(s) (n=5).
- o resistance and negativeness (n=3).

Ways to save time are:

- o be well prepared for meetings (n=6).
- o educate everyone involved (n=5).
- o know what you are doing ahead of time (n=4).
- o get outside help in developing the process (n=3).

If there is a secret to successful SPM, it could be:

- o have the CEO initiate SPM and/or fully committed to it (n=11).
- o assign SPM leadership to one person, or a small group, who is effective and enlightened (n=5).
- o have broad-based input and participation (n=4).
- o communicate/educate all staff/faculty about SPM and your objectives (n=4).
- o have a strong, willing support staff.

CONCLUSIONS, IMPLICATIONS, AND GUIDELINES.

Main conclusions of this study are as follows:

- o the majority of higher education institutions (87%) appears to be doing strategic planning and management.

- o comparison of strategic planning and management practices in higher education with methods described in the business and higher education literature--i.e., major purposes, processes, benefits, and problems--suggests a close match, but with a tendency for middle-ground averages. For all items, averaged, under each main survey topic, this survey showed that in higher education:

- o SPM major purposes are important.
- o SPM processes are engaged in to some extent.
- o SPM processes are somewhat successful.
- o Institutions are somewhat satisfied with SPM processes.
- o The locus of SPM development is primarily within institutions.
- o Outside aids to develop SPM are used by a majority of institutions.
- o SPM results and benefits are moderately successful.
- o Institutions are somewhat satisfied with SPM results and benefits.
- o Some organizational structuring was required for SPM decision making.
- o Some to much additional technical requirements (information handling, group task skills, communication methods) were required.
- o Actual institutional requirements and conditions (timing, number of staff/faculty, decision structuring, additional technical requirements, and dollar resources) for SPM were slightly more than expected.
- o SPM problems--which appear to prevent higher success in SPM processes and results--were encountered in a range from some to none.

o Institutional differences by categories of control, size, and type, were found in responses to the survey items.

Control

Compared to public institutions, private institutions tend to place more importance on the major SPM purposes; engage more highly in SPM processes; be more satisfied with SPM processes; be more successful in realizing certain SPM results and benefits (adapting to needed change, dealing with uncertainty, and becoming more competitive); be slightly more satisfied with SPM results and benefits; take longer to develop SPM and complete an SPM cycle; require more additional information gathering/ processing and communication methods, but less group task skills; and have greater SPM problems in over half of those listed.

Size

Among institutional categories by size, small institutions (<1000) tend to: place more importance on a majority of SPM purposes; rate success with SPM processes more highly in about half of those listed; develop SPM less within the institution; as outside aids, use seminars more and consultants and materials less; in usefulness of outside aids, rate seminars and materials more highly and consultants less; take longer to develop and complete and SPM cycle; require more additional information gathering and communication methods; and have greater SPM problems in half of those listed.

Medium-small institutions (1000 to 4999) tend to: place less importance on half of the

Medium-small institutions (1000 to 4999) tend to: place less importance on half of the major SPM purposes; develop SPM more within the institution; as outside aids, use materials more; in usefulness of outside aids, rate consultants more highly; have had SPM in use less time; and require less additional group task skill development.

Medium-large institutions (5000 to 9999) tend to: place more importance on a few major purposes; be more highly satisfied with SPM processes; as outside aids, use consultants more and seminars less; rate success in SPM results and benefits more highly; have had SPM in use for a longer period of time; require more additional group task skill development and less information gathering; and have less significant SPM problems in half of those listed.

Large institutions (10000+) tend to: rate a few SPM purposes less important; engage less highly in half of SPM processes; ratw success in SPM processes more highly in half and less highly in half on those listed; are less satisfied with SPM processes; develop SPM less primarily within the institution; as outside aids, use materials more; in usefulness of outside aids, rate materials and seminars less highly; take fewer years to develop and complete an SPM cycle; and have greater SPM problems in about one-third of those listed.

Type

By type of institution, two-year institutions used outside materials the most and SPM consultants the least; were less satisfied with SPM results and benefits; took less years to develop SPM; required more additional group task skill development; and had greater problems in seven out of twenty items.

Four-year institutions used SPM seminars the most; were most successful in the use of SPM consultants; were more satisfied with SPM results and benefits; took more years to develop and complete SPM; and required more SPM information gathering/analysis and communications development.

Four-plus year institutions used SPM consultants the most, and were least satisfied with outside SPM materials and seminars; required less SPM information gathering, communication, and group task skill development; and had less problems in eight out of twenty items.

Special institutions showed highest extent of engaging in SPM processes (in nine out of fourteen items) and of success with SPM processes (eight out of fourteen); used outside materials and seminars least, but rated these most useful; were lowest on SPM results and benefits (nine out of ten); took less years to complete the SPM process; and had used SPM the least number of years.

- The most satisfied and least satisfied institutions differed substantially from each other.

The most satisfied institutions: rated SPM purposes of greater importance; were more engaged in SPM processes; felt more success in SPM processes; were most satisfied with the processes; used outside aids least, but found them more useful; rated SPM results and benefits well above average; were most satisfied with results and benefits; found actual SPM institutional requirements and conditions closer to what they expected; and were typically well below average in extent of SPM problems.

The least satisfied institutions were the converse of the above results shown for the most successful--i.e., rated SPM purposes of less importance; were less engaged in processes and felt less successful and satisfied with processes; used outside aids more, but found them less useful; rated SPM results and benefits well below average; were least satisfied with SPM

results and benefits: found actual SPM institutional requirements and conditions to be about as expected; and were typically well above average in extent of SPM problems.

- The special university subsample tended to parallel the satisfied institutions in average responses.

  Universities judged successful with SPM rated purposes higher; were more involved in, successful in, and satisfied with SPM processes; rated SPM results and benefits well above average, and were more satisfied; found actual requirements and conditions about as expected; and were below average, typically, on SPM problems.

  The university subsample differed in that: outside aids were used the most, but rated about average in usefulness; were well above average in organizational structuring for SPM decision making; and were well below average in the need for additional technical requirements.

Implications of this study are as follows.

- Although the majority of institutions in higher education are engaged in strategic planning and management practices, only a minority of them appear to achieve high success in the processes and, more important, the results and benefits.

- Higher institutional success with SPM appears linked to:

  # attaching a higher degree of importance to SPM purposes.
  # engaging to a greater extent in SPM processes.
  # needing less additional institutional technical requirements.
  # rating outside SPM aids as more highly useful.
  # experiencing a closer match between expected and actual institutional SPM requirements and conditions.
  # encountering a lesser degree of SPM problems.

- Although there are variations and tendencies in SPM practices by institutional categories, it would appear that each institution has a somewhat unique experience with SPM.

- SPM experiences at other institutions provide a valuable reference--of SPM values, difficulties, do's and don't's, cautions, and time savers--for an institution considering SPM, or one already engaged in SPM that seeks improved processes and/or results.

- Establishing SPM as a continuous process is likely to lead to more successful results, inasmuch as SPM gets easier with time and experience.

- The following factors appear especially important in SPM practices:

  # involving a cross-section of staff/faculty.
  # allowing adequate time to develop and implement SPM.
  # fostering good communication among staff/faculty.
  # obtaining commitment to SPM from the CEO and participants.
  # developing and efficient and effective SPM process.
  # linking planning and budgeting.
  # having adequate data and analyses.

Guidelines for Conducting SPM are:

- Compare your institution's plan (or performance) for conducting SPM with data from other institutions on all of the major SPM areas and elements (for example, as covered in this study) in order to become more aware of the ingredients for likely success as well as to identify the kinds of problems and weaknesses that should be watched.

- Rank order your SPM purposes, determining which are most and least important, to help clarify your SPM objectives.

- Rank order the extent to which SPM steps/processes are (to be) engaged in, recognizing that this may be tied to level of success in steps/processes.

- Review your use of outside SPM aids, to see if improvements and benefits might be possible.

- Allow a reasonable time frame for developing SPM and for going through a complete process cycle, recognizing that, typically, more time than expected is required.

- Examine your information gathering and analysis capabilities, communication methods, and group task skills for possible improvements, noting that additional SPM requirements in these areas tend to be greater than expected.

- Carefully review and assess the extent to which your institution has the kinds of problems that seem common in SPM, and try to resolve them in order to achieve a higher level of success.

- Take notice of other institutions' advice and suggestions for conducting SPM, particularly dissatisfactions, difficulties, do's and don't's, cautions, ways to save time and (possible) secrets to SPM.

FURTHER RESEARCH INTO STRATEGIC PLANNING AND MANAGEMENT

This study has dealt with major elements of SPM methods and practices in higher education, as found in business and higher education literature. The study portrays strategic planning and management in a way that is believed useful to those engaged in or about to engage in SPM.

Further research of the following kind, perhaps at a more detailed level, would offer additional information, insights, and methods.

- Survey of the specific SPM techniques and vehicles used, such as: values formulation; environmental scanning; financial analyses; resource auditing; modeling tools; product-market matrix analysis; conflict resolution; communication methods; forecasting variables; and SPM evaluation and refinement.

- Data gathering on specific measurments of SPM results and benefits, i.e., improvements in finances, enrollments, reputation and quality, management capabilities, ways of meeting client needs, and so on.

- Better estimates of the cost (direct and indirect) of conducting successful SPM.

- Investigation of reasons for the variance in SPM practices by institutional categories.

- Investigation of relationships between institutional "management style" and the success of SPM practices and results.

REFERENCES:

Cope, Robert. Strategic Planning, Management, and Decision Making. AAHE-ERIC/Higher Education Research Report No. 9, 1981.

_____. Strategic Policy Planning: A Guide for College and University Administrators. Littleton, Colo.: The Ireland Educational Corporation, 1978.

HEP 1984 Higher Education Directory. Washington, D.C.: Higher Education Publications, Inc., 1984.

Keller, George. Academic Strategy: The Management Revolution in American Higher Education. Baltimore: The Johns Hopkins University Press, 1983.

Lorange, Peter. Implementation of Strategic Planning. Englewood Cliffs: Prentice-Hall, Inc., 1982.

Mason, Richard O. and Ian I. Mitroff. Challenging Strategic Assumptions: Theory, Cases, Techniques. New York: John Wiley and Sons, 1981.

Pearce, John A., II, and Richard B. Robinson, Jr. Formulation and Implementation of Competitive Strategy. Richard D. Irwin, Inc., 1982.

Peterson, Marvin W. "Analyzing Alternative Approaches to Planning" in Improving Academic Management: A Handbook of Planning and Institutional Research. San Francsico: Jossey-Bass, 1980.

Shirley, Robert C., Michael H. Peters, and Adel I. El-Ansary. Strategy and Policy Formation: A Multifunctional Orientation. Second Edition. New York: John Wiley and Sons, 1981.

Steiner, George A. Strategic Planning: What Every Manager Must Know. The Free Press, 1979.

Uhl, Norman P. (Ed.) Using Research for Strategic Planning. New Directions for Institutional Research, #37. San Francisco: Jossey-Bass, 1983.

STRATEGIC PLANNING & MANAGEMENT IN HIGHER EDUCATION: A SURVEY

Your cooperation in responding to the few, short items below would be greatly appreciated. The information is for a study on the extent and usefulness of strategic planning and management in U.S. higher education. No data will be tied to specific institutions, so feel free to be candid.

INSTRUCTIONS: REVIEW THE FOLLOWING BRIEF DEFINITION OF STRATEGIC PLANNING AND MANAGEMENT, AND THEN RESPOND TO THE QUESTIONS.

Institutional strategic planning and management is the process of:

(1) setting goals which match institutional activities, competencies, and resources with the external environment's present and future opportunities, demands, and risks;

(2) formulating alternative courses of short-term and long-term action for achieving the goals;

(3) selecting and implementing a given (best) course of action, and directing and coordinating resources and activities to help assure successful performance; and

(4) evaluating results to insure that goals are met and to monitor the appropriateness of the course of action and necessity for modifications.

INSTITUTION _____ Respondent name _____

1. Does this institution currently, or has it recently, engage(d) in some form of strategic planning and management? (Check one): ☐ Yes ☐ No ☐ Not sure

2. If the answer to #1 is Yes, or Not Sure, please provide name and address of the responsible/knowledgeable individual to whom a further query on this topic may be directed.

   Name: _____ Title: _____
   Address: _____
   _____
   Telephone: _____

3. If the answer to #1 is No, please check the appropriate boxes in A and B below:

   A. To the best of my knowledge, this institution (Please check one):
   - ☐ does not feel (has not felt) the necessity to engage in strategic planning and management.
   - ☐ has not considered the possibility of using strategic planning and management.
   - ☐ considered engaging in strategic planning and mgt., but rejected actual implementation.
   - ☐ engaged in strategic planning and management some time ago, but no longer does it.
   - ☐ other (please specify): _____
     _____

   B. General reasons for this institution not engaging in strategic planning and management include... (Please check all that apply)
   - ☐ previous efforts of this kind were not successful or beneficial.
   - ☐ it was too costly and time-consuming, vs. the potential benefits.
   - ☐ the tools and techniques are available, but seem too ambiguous.
   - ☐ institution does not possess the necessary tools and techniques.
   - ☐ institution has such a specialized mission that strategic planning and mgt. is not required.
   - ☐ other (please specify): _____
     _____

4. PLEASE RETURN THIS SHEET PROMPTLY TO: MARK MEREDITH, DIRECTOR
   (by January 28th, if possible) MANAGEMENT INFORMATION ANALYSIS
   UNIVERSITY OF COLORADO, BOULDER
   CAMPUS BOX B-17
   BOULDER, CO 80309

(If you have questions, telephone 303-492-8908.) THANK YOU VERY MUCH FOR YOUR HELP!

PRACTICES AND BENEFITS OF STRATEGIC PLANNING & MANAGEMENT IN HIGHER EDUCATION

INSTITUTION _____ RESPONDENT _____

INSTRUCTIONS: For each of the nine sections, please check the appropriate boxes and/or fill in the information requested for each item. Responses are strictly confidential; so please be candid. The survey asks for your best judgment, opinion, perceptions, and assessment of strategic planning and management (SPM) at your institution. Please try to return this in the enclosed envelope by March 20th.

---

1. MAJOR PURPOSES OF DOING SPM AT THIS INSTITUTION ARE:
(Check a box for each purpose)(Extremely important, Important, Some, Little, or None)

	Degree of Importance				
	Extr.	Imp.	Some	Lit.	None
Improve financial position.	—	—	—	—	—
Improve reputation and quality.	—	—	—	—	—
Sustain or increase enrollments.	—	—	—	—	—
Cut back programs or resources.	—	—	—	—	—
Improve overall management capabilities.	—	—	—	—	—
Help meet and adapt to needed change.	—	—	—	—	—
Better identify and provide client needs.	—	—	—	—	—
Become more proactive and less reactive.	—	—	—	—	—
Become more competitive.	—	—	—	—	—
More able to deal with uncertainty.	—	—	—	—	—
Other purposes (specify):					
_____	—	—	—	—	—
_____	—	—	—	—	—

2. SPM PROCESSES/STEPS ENGAGED IN ARE (HAVE BEEN):
(Check a box for each step listed.)

	Extent Engaged In:				Est. Success In:			
	High	Some	Lit.	None	High	Some	None	Not Sure
Clarifying/redefining mission and purpose.	—	—	—	—	—	—	—	—
Clarifying/redefining traditions, values, and aspirations.	—	—	—	—	—	—	—	—
Clarifying/redefining goals and objectives.	—	—	—	—	—	—	—	—
Assessing external environment.	—	—	—	—	—	—	—	—
Identifying external opportunities & threats.	—	—	—	—	—	—	—	—
Forecasting external environment (demography, economy, technology, political, social)	—	—	—	—	—	—	—	—
Evaluating institutional programs & resources.	—	—	—	—	—	—	—	—
Assessing internal strengths & weaknesses.	—	—	—	—	—	—	—	—
Assessing leadership abilities & priorities.	—	—	—	—	—	—	—	—
Matching external opportunities/threats with internal strengths & values.	—	—	—	—	—	—	—	—
Formulating strategic campus plans (enroll'ts, finances, facilities, organization, human resources).	—	—	—	—	—	—	—	—
Formulating departmental plans (academic & support) including internal/external; quality/quantity	—	—	—	—	—	—	—	—
Implementing campus & departmental strategic plans based on allocation/reallocation of resources.	—	—	—	—	—	—	—	—
Review & evaluation of strategic process results.	—	—	—	—	—	—	—	—

3. GENERAL SATISFACTION WITH OVERALL SPM PROCESSES:
Highly Satis. __ Somewhat Satis. __ Somewhat Dissatis. __ Highly Dissatis. __

4. LOCUS OF DEVELOPMENT OF SPECIFIC METHODS FOR SPM PROCESSES.

Specific methods for SPM at this institution were developed:
totally within __ primarily within __ primarily with outside assistance

	Yes	No	Not Sure	If yes, est. USEFULNESS: High	Moder.	Low
Outside aids used included: consultants	—	—	—	—	—	—
courses, seminars	—	—	—	—	—	—
books, materials	—	—	—	—	—	—

Especially helpful aids (specify): _____

5. RESULTS/BENEFITS REALIZED (TO DATE) FROM SPM:
(Check those which apply.)

	Extent of Success:				
	High	Moder.	Low	None	Not Sure
Improved financial position	—	—	—	—	—
Improved reputation & quality	—	—	—	—	—
Sustained or increased enrollments	—	—	—	—	—
Cut backs in programs or resources	—	—	—	—	—
Improved overall management capabilities	—	—	—	—	—
Met or adapted to needed change	—	—	—	—	—
Better identified and provided client needs	—	—	—	—	—
Became more proactive and less reactive	—	—	—	—	—
Became more competitive	—	—	—	—	—
More able to deal with uncertainty	—	—	—	—	—
Other (specify): _____	—	—	—	—	—
_____	—	—	—	—	—
_____	—	—	—	—	—

6. GENERAL SATISFACTION WITH OVERALL RESULTS/BENEFITS OF SPM:

Highly Satis. __ Somewhat Satis. __ Somewhat Dissat. __ Highly Dissatis. __

Things most satisfied with: _____

Things most dissatisfied with: _____

7. INSTITUTIONAL REQUIREMENTS/CONDITIONS FOR DOING SPM:

	Actual vs. Expected: More Than	About Exp'd	Less Than
Estimated Timing (rough guess):			
length of time to devise methods (specify)_____	—	—	—
length of time for a complete SPM process _____	—	—	—
number of years SPM has been in use _____			
Estimated number of staff/faculty directly involved in SPM:			
number of staff _____	—	—	—
number of faculty _____	—	—	—
Organizational structuring for decision processes:			
some required __ none required __	—	—	—
Technical requirements:			
additional information gathering & processing:			
much required __ some required __ none required __	—	—	—
additional group task skills:			
much required __ some required __ none required __	—	—	—
additional communication methods:			
much required __ some required __ none required __	—	—	—
other requirements (specify):			
_____	—	—	—
_____	—	—	—
Estimated dollar resources required:			
"start up costs" direct $ _____ indirect $ _____	—	—	—
on going annual costs: direct _____ indir _____	—	—	—
Other requirements (specify):			
_____	—	—	—
_____	—	—	—

8. PROBLEMS ENCOUNTERED IN SPM:

	Extent of Problem: Signif.	Some	None	Not Sure
SPM not interwoven into entire management process	—	—	—	—
Chief Executive Officer not personally committed to SPM	—	—	—	—
Purposes of SPM not clearly identified	—	—	—	—
SPM System not simple, flexible, well-designed	—	—	—	—
No balance between analytical processes and intuition, judgments, and values	—	—	—	—
Failure to identify/evaluate planning "assumptions"	—	—	—	—
Planning "climate" not congenial	—	—	—	—
Insufficient managerial conceptual skills; understanding and use of analytical tools	—	—	—	—
Unrealistic appraisal of uncertainties	—	—	—	—
Line managers not accepting and being involved in SPM	—	—	—	—
Insufficient focus on both SPM and current operations	—	—	—	—
Insufficient attention to implementation of SPM	—	—	—	—
Insufficient link between capital allocation and SPM	—	—	—	—
Insufficient management reward system for doing SPM	—	—	—	—
Too much of SPM delegated to a "planner" or planning ofice	—	—	—	—
Failure to develop suitable goals and objectives	—	—	—	—
Too much staff/faculty resistance to SPM	—	—	—	—
Failure to evaluate both campus-level & departmental plans	—	—	—	—
Insufficient resources available for SPM	—	—	—	—
Insufficient expertise available to do SPM	—	—	—	—
Other problems (specify):				
_____	—	—		
_____	—	—		
_____	—	—		

9. OBSERVATIONS, SUGGESTIONS, RECOMMENDATIONS CONCERNING SPM:

To help other officers/planners in institutions of higher education successfully conduct strategic planning and management, what advice would you give, in capsule comments, aimed at the following concerns:

Most important value of SPM is: _____

Most difficult thing about SPM is: _____

Be sure to DO following: _____

Be sure that you DON'T do the following: _____

Things to watch out for are: _____

Ways to save time: _____

If there is a secret to successful SPM, it could be: _____

With time & experience, SPM seems to get: easier __ more difficult __ stay the same __

Other advice/comments/suggestions: _____

(Please check one:)
I would __ would not __ like to receive a summary of the survey results.

*** THANKS FOR YOUR PARTICIPATION! ***

ATTACHMENT 3 : AVERAGE ITEM RESPONSE SCORES

	ALL	CONTROL		INSTIT'L TYPE				INSTIT'L SIZE				SATISFAC		
		PUB	PRV	2YR	4YR	4+	SP	<1	1-5	5-10	10+	SAT	DIS	UNV
n =	96	65	29	30	31	21	12	11	58	16	9	17	10	10
MAJOR SPM PURPOSES:														
Improve financial	4.03	3.94	4.23	4.00	4.07	4.00	4.08	4.18	3.95	4.25	4.00	4.47	3.67	3.67
Impr. Reput. & Qual.	4.12	4.07	4.23	3.83	4.26	4.20	4.33	4.36	4.09	4.00	4.25	4.47	3.78	4.44
Sustain/Incr.Enroll.	4.02	3.90	4.32	4.07	4.29	3.90	3.58	4.27	3.98	4.13	4.00	4.12	3.89	3.89
Cut Back Progs./Res.	2.97	3.00	2.87	3.20	2.63	3.25	2.67	3.00	2.81	3.53	2.88	3.06	2.89	3.33
Impr. Mgt. Capabil.	4.22	4.16	4.32	4.13	4.36	4.15	4.17	4.36	4.26	4.25	3.63	4.59	3.78	4.40
Help Adapt to Change	4.38	4.38	4.39	4.37	4.40	4.40	4.33	4.55	4.26	4.67	4.50	4.63	3.67	4.50
Ident/Prov.Client Nd.	4.03	4.07	4.00	4.07	4.00	3.90	4.33	4.18	4.11	4.00	3.50	4.13	4.00	4.11
More Proactive	4.26	4.24	4.32	4.33	4.32	4.05	4.33	4.36	4.26	4.25	4.25	4.65	4.22	4.11
More Competitive	3.72	3.56	4.03	3.53	3.86	3.90	3.50	3.91	3.61	3.87	3.88	4.47	3.44	4.00
Able Deal w/Uncert.	3.84	3.75	4.03	3.77	4.00	3.72	3.89	4.20	3.78	3.92	3.75	4.33	3.75	4.11
AVG. PURPOSES:	3.96	3.91	4.08	3.93	4.02	3.95	3.92	4.14	3.91	4.09	3.86	4.29	3.71	4.06
SPM STEPS/PROCESSES:														
Mission & Purpose	3.54	3.46	3.77	3.27	3.81	3.38	4.00	3.82	3.55	3.44	3.56	3.53	3.10	3.60
Trad/Value/Asprtns.	2.92	2.84	3.07	2.76	3.13	2.86	2.83	3.18	2.84	2.94	3.00	2.94	2.30	3.33
Goals & Objectives	3.71	3.69	3.74	3.62	3.81	3.67	3.75	3.91	3.62	3.81	3.88	3.65	3.30	3.60
Assess Ext. Environ.	3.18	3.14	3.23	2.93	3.19	3.24	3.58	2.91	3.12	3.31	3.56	3.29	2.80	3.56
Id.Ext.Threat/Oppor.	3.10	3.05	3.13	2.86	3.10	3.05	3.58	2.82	3.07	3.19	3.25	3.41	2.78	3.56
Forecast Ext. Envir.	3.14	3.08	3.26	3.03	3.00	3.24	3.58	3.09	3.09	3.19	3.44	3.41	2.70	3.33
Eval. Progs. & Resr.	3.25	3.23	3.29	3.17	3.26	3.14	3.58	3.27	3.16	3.44	3.50	3.47	2.90	3.33
Assess Strngth/Weak.	3.19	3.10	3.36	3.00	3.23	3.10	3.67	3.36	3.16	3.00	3.57	3.35	2.78	3.60
Assess Leadership	2.63	2.56	2.72	2.52	2.69	2.45	2.92	2.70	2.67	2.63	2.00	3.06	2.11	2.63
Match Ext. w/Intrnl.	2.95	2.88	3.07	2.82	3.07	2.76	3.25	2.82	2.96	3.06	2.75	3.41	2.38	3.33
Form. Strategic Plan	3.46	3.44	3.55	3.28	3.55	3.57	3.58	3.36	3.47	3.75	3.13	3.71	2.70	3.56
Form. Depart'l Plan	3.11	3.10	3.14	2.93	3.20	3.25	3.10	3.10	3.09	3.44	2.57	3.13	2.67	3.40
Impl. Comp/Dept. Pln.	3.03	3.03	3.03	2.90	3.18	2.95	3.09	3.09	3.12	2.94	2.43	3.35	2.11	3.25
Review/Eval.Strategic	2.76	2.70	2.90	2.86	2.79	2.75	2.46	2.36	2.93	2.67	2.29	2.88	2.00	3.00
AVG. STEPS/PROCESSES:	3.14	3.09	3.23	3.00	3.21	3.10	3.36	3.13	3.13	3.20	3.07	3.33	2.62	3.36
EST.SUCCESS IN STEPS:														
Mission and Purpose	3.40	3.36	3.48	3.32	3.56	3.16	3.70	3.60	3.46	3.29	3.00	3.47	2.75	3.56
Trad/Value/Asprtns.	2.74	2.76	2.71	2.64	3.00	2.58	2.70	3.00	2.78	2.50	2.63	2.88	1.75	2.88
Goals & Objectives	3.40	3.40	3.39	3.39	3.62	3.11	3.40	3.80	3.39	3.29	3.13	3.53	2.88	3.56
Assess Ext. Environ.	3.11	3.13	3.04	3.00	3.04	3.16	3.40	3.10	3.04	3.14	3.38	3.29	2.75	3.63
Id.Ext.Threat/Oppor.	3.03	3.06	2.96	2.93	3.04	3.11	3.10	3.00	2.96	2.93	3.71	3.29	3.00	3.63
Forecast Ext. Envir.	2.91	2.96	2.82	2.93	2.75	3.11	2.90	3.00	2.85	2.93	3.14	3.24	2.71	3.50
Eval. Progs. & Resr.	3.06	3.06	3.07	3.04	3.08	2.95	3.30	3.10	2.98	3.21	3.25	3.29	2.63	3.44
Assess Strngth/Weak.	3.09	3.04	3.19	2.89	3.04	3.19	3.60	3.20	3.06	2.83	3.57	3.29	2.57	3.89
Assess Leadership	2.59	2.57	2.64	2.70	2.46	2.50	2.78	2.78	2.53	2.85	2.29	2.88	2.00	2.83
Match Ext. w/Intrnl.	2.90	2.94	2.82	2.92	2.87	2.84	3.00	3.00	2.80	3.23	2.75	3.29	2.50	3.11
Form. Strategic Plan	3.14	3.13	3.15	3.07	3.22	3.26	2.90	3.40	3.13	3.14	2.88	3.53	2.25	3.50
Form. Depart'l Plan	2.90	2.87	2.96	2.90	2.83	2.94	3.00	3.11	2.89	3.07	2.29	3.00	2.43	3.25
Impl. Comp/Dept Pln.	2.92	2.94	2.90	2.96	2.96	2.88	2.80	3.20	2.98	2.64	2.67	3.29	2.29	3.14
Review/Eval.Strategic	2.70	2.59	2.90	2.74	2.57	2.77	2.78	2.80	2.65	2.92	2.50	2.94	2.14	3.00
AVG. SUCCESS W/STEPS:	2.99	2.99	3.00	2.96	2.99	2.97	3.10	3.15	2.97	3.00	2.94	3.23	2.48	3.35

	ALL	CONTROL		INSTIT'L TYPE				INSTIT'L SIZE				SATISFAC		
		PUB	PRV	2YR	4YR	4+	SP	<1	1-5	5-10	10+	SAT	DIS	UNV
n =	96	65	29	30	31	21	12	11	58	16	9	17	10	10
SATISFACTION W/PROCESS:	3.12	3.07	3.24	2.93	3.28	3.15	3.18	3.09	3.13	3.27	2.88	3.94	2.10	3.40
LOCUS OF DEV. SPM METH:	2.28	2.32	2.21	2.31	2.29	2.30	2.18	2.00	2.41	2.19	2.00	2.29	2.25	2.00
USE OF OUTSIDE AIDS:														
Consultant(s)	2.61	2.60	2.67	2.48	2.71	2.67	2.70	2.73	2.53	2.92	2.57	2.35	2.75	3.00
Seminars/Courses	2.48	2.50	2.52	2.56	2.59	2.33	2.40	2.64	2.50	2.39	2.57	2.35	2.25	2.75
Books/Materials	2.74	2.83	2.63	2.96	2.78	2.60	2.40	2.73	2.75	2.77	2.86	2.71	2.75	3.00
AVG. OUTSIDE AIDS:	2.61	2.64	2.61	2.67	2.70	2.53	2.50	2.70	2.59	2.69	2.67	2.47	2.58	2.92
EST.SUCCESS OUT.AIDS:														
Consultant(s)	2.35	2.39	2.29	2.29	2.47	2.36	2.17	2.13	2.48	2.33	2.20	2.57	2.17	2.63
Seminars/Courses	2.42	2.46	2.31	2.40	2.60	1.86	2.75	2.71	2.42	2.33	2.00	2.71	2.10	2.40
Books/Materials	2.33	2.29	2.47	2.29	2.43	2.10	2.75	2.50	2.43	2.20	1.83	2.54	2.00	2.17
AVG. SUCC. OUT AIDS:	2.37	2.38	2.36	2.33	2.50	2.11	2.56	2.45	2.44	2.29	2.01	2.61	2.09	2.40
EST.SUCCESS RESULTS:														
Impr. Financial	3.36	3.32	3.42	3.44	3.50	3.44	2.38	3.20	3.25	3.86	3.33	3.93	2.89	3.63
Impr. Reput. & Qual:	3.40	3.43	3.31	3.75	3.31	3.50	2.13	2.80	3.40	3.71	3.50	4.13	3.00	4.50
Sustain/Incr. Enroll.	3.51	3.50	3.50	3.54	3.92	3.44	2.13	2.90	3.62	3.57	3.33	4.20	3.00	3.88
Cut Back Progs./Res.	3.15	3.15	3.12	3.29	3.00	3.11	3.13	3.36	3.00	3.36	3.33	3.67	2.44	3.38
Impr. Mgt. Capabil.	3.94	3.95	3.92	4.14	4.04	4.00	2.75	3.82	4.02	3.79	3.83	4.73	3.33	4.25
Help Adapt to Change	3.68	3.59	3.85	3.70	3.67	3.94	3.00	3.55	3.65	3.79	3.83	4.53	2.78	4.63
Ident/Prov.Client Nd.	3.61	3.58	3.65	3.64	3.67	3.94	2.50	3.27	3.62	3.86	3.50	3.87	3.22	4.12
More Proactive	3.76	3.78	3.69	3.75	3.82	4.00	3.00	3.64	3.68	4.14	3.67	4.47	3.00	4.38
More Competitive	3.21	3.10	3.40	3.04	3.23	3.50	2.86	3.30	3.15	3.14	3.50	4.13	2.44	4.12
Able Deal w/Uncert.	3.66	3.56	3.84	3.73	3.85	3.50	3.00	3.80	3.57	4.00	3.33	4.20	3.11	4.12
AVG. SUCCESS W/RESULTS AND BENEFITS OF SPM:	3.53	3.50	3.57	3.60	3.60	3.64	2.69	3.36	3.50	3.72	3.52	4.19	2.92	4.10
SATISF. W/RESULTS:	3.06	3.00	3.18	2.96	3.15	3.05	3.11	3.22	3.08	3.07	2.71	4.00	1.80	3.50
ESTIMATED TIMING:														
Years to Dev. Methods	1.19	.91	1.70	1.06	1.35	1.12	1.17	1.90	1.17	1.37	.34	1.27	1.50	1.63
Yrs.Compl.SPM Process	1.70	1.44	2.17	1.70	2.15	1.32	.87	2.80	1.54	1.67	1.28	1.98	1.83	2.55
Yrs.SPM Been In Use	3.03	2.93	2.96	3.37	3.65	2.15	1.25	2.94	2.91	3.07	2.92	3.45	3.50	3.58
EST. PERSONS INVOLVED:														
Staff Involved in SPM	26.7	21.1	37.2	19.6	18.4	59.1	7.3	11.8	18.8	27.1	85.9	12.4	9.3	14.0
Faculty Involv.in SPM	42.8	42.5	41.5	26.5	30.0	92.3	9.0	18.0	22.1	99.1	84.6	11.5	23.6	42.0
ORG'L.STRUCT.FOR DECIS:	1.75	1.73	1.81	1.73	1.81	1.79	1.60	1.90	1.67	1.80	1.90	1.73	1.75	2.00
TECHNICAL REQUIREMENTS:														
Additional Inform'n.	2.61	2.56	2.71	2.56	2.74	2.48	2.70	2.90	2.61	2.47	2.56	2.56	2.78	2.50
Add. Group Task Skill	2.33	2.39	2.22	2.37	2.35	2.29	2.30	2.56	2.22	2.67	2.22	2.31	2.33	2.11
Add. Communic. Method	2.47	2.42	2.57	2.56	2.56	2.29	2.40	2.80	2.41	2.60	2.22	2.50	2.44	2.22
AVG.ADD'L TECH. REQS:	2.47	2.46	2.50	2.49	2.55	2.35	2.47	2.75	2.41	2.58	2.33	2.46	2.52	2.28

	ALL	CONTROL		INSTIT'L TYPE				INSTIT'L SIZE				SATISFAC		
		PUB	PRV	2YR	4YR	4+	SP	<1	1-5	5-10	10+	SAT	DIS	UNV
n =	96	65	29	30	31	21	12	11	58	16	9	17	10	10
EST. DOLLAR RESOURCES: (in thousands)														
Direct Startup Costs	40.7	54.2	21.5	23.4	44.9	67.6	47.9	65.2	14.8	97.2	na	66.0	na	na
Indirect Startup	29.8	42.4	7.4	13.8	25.8	na	51.7	33.0	na	82.0	na	37.5	na	na
Direct Ongoing Costs	20.9	27.3	11.3	15.4	13.4	33.1	42.1	34.7	10.1	36.3	na	20.9	na	na
Indirect Ongoing	18.0	25.0	7.6	7.6	6.4	na	na	8.3	4.4	15.0	na	6.8	na	na
ACTUAL VS. EXPECTED REQUIR. & CONDITIONS:														
Yrs. to Dev. Methods	2.41	2.46	2.29	2.54	2.42	2.27	2.22	2.33	2.42	2.46	2.38	2.15	2.22	2.63
Yrs.to Compl.Process	2.34	2.40	2.22	2.50	2.36	2.33	1.89	2.33	2.32	2.42	2.38	2.07	2.56	2.63
Number of Staff	2.02	2.08	1.88	2.00	1.94	2.19	1.80	2.17	1.92	2.25	2.17	2.18	2.00	2.14
Number of Faculty	2.02	2.05	1.93	2.00	1.94	2.20	1.75	1.83	1.94	2.50	2.00	1.91	1.71	2.00
Org.Str. for Decis.	2.14	2.14	2.13	2.11	2.21	2.07	2.20	2.60	2.03	2.20	2.20	2.13	2.00	2.33
Add.Info.Gath/Proc'g	2.33	2.31	2.38	2.46	2.33	2.13	2.33	2.83	2.32	2.08	2.33	2.09	2.43	2.00
Add.Group Task Skills	2.21	2.20	2.25	2.27	2.06	2.13	2.67	2.83	2.11	2.25	2.17	2.09	2.29	2.25
Add.Commun.Methods	2.29	2.23	2.44	2.32	2.28	2.21	2.40	2.67	2.19	2.40	2.33	2.17	2.43	2.00
Startup Costs	2.18	2.17	2.20	2.17	2.08	2.40	2.25	2.40	2.09	2.20	2.50	2.00	2.00	2.00
Ongoing Annual Costs	2.17	2.18	2.13	2.09	2.09	2.40	2.33	2.50	2.05	2.25	2.33	1.83	na	2.00
AVG.ACTUAL VS EXPECT	2.21	2.22	2.18	2.25	2.17	2.23	2.18	2.45	2.14	2.30	2.28	2.06	1.96	2.20
PROBLEMS IN SPM:														
Not woven into mgt.	3.06	3.03	3.11	3.17	2.96	2.95	3.18	3.36	2.96	3.06	3.22	2.53	3.40	2.89
CEO Not Committed to	2.22	2.24	2.18	2.29	2.22	2.14	2.18	2.27	2.19	2.13	2.44	2.24	2.60	2.00
Purposes not Clear	2.61	2.64	2.52	2.71	2.48	2.60	2.64	2.64	2.63	2.40	2.78	2.35	3.10	2.78
Not Simple,Flexible	2.54	2.52	2.59	2.57	2.62	2.33	2.70	3.09	2.52	2.13	2.75	2.35	2.70	2.25
No Bal.Analy./Intuit.	2.43	2.36	2.59	2.54	2.35	2.38	2.50	2.73	2.40	2.21	2.63	2.29	2.60	2.33
Not Ident.Assumptions	2.49	2.43	2.63	2.56	2.44	2.48	2.50	2.91	2.43	2.40	2.50	2.47	2.70	2.33
Plan.Clim.Incongenial	2.56	2.57	2.52	2.62	2.54	2.55	2.44	2.82	2.49	2.64	2.43	2.56	3.10	2.38
Insuff.Mgr.Skills/Und	2.80	2.88	2.63	3.11	2.65	2.57	2.80	3.00	2.80	2.69	2.75	2.64	2.90	2.89
Unreal.Apprais.Uncert	2.61	2.65	2.59	2.68	2.60	2.62	2.60	2.82	2.57	2.63	2.75	2.59	2.40	2.33
Line Mgrs.Not Accept	2.65	2.57	2.79	2.68	2.68	2.55	2.64	2.55	2.69	2.27	3.29	2.50	3.20	2.70
Not Focus SPM & Op'ns	2.67	2.63	2.74	2.68	2.58	2.55	3.00	2.82	2.69	2.43	2.71	2.31	3.30	2.22
Insuffic. Implemnt'n	2.73	2.76	2.64	2.86	2.72	2.55	2.70	2.50	2.80	2.63	2.71	2.38	3.20	2.33
Insuf.Link w/Capital	2.64	2.56	2.78	2.57	2.58	2.75	2.70	2.55	2.66	2.56	2.71	2.35	3.20	2.22
Insuf.Mgt.Reward Syst	2.72	2.72	2.74	2.86	2.62	2.71	2.70	2.60	2.75	2.56	3.12	2.65	3.40	2.44
Too Deleg.to Planner	2.41	2.32	2.62	2.29	2.59	2.33	2.44	2.80	2.41	2.19	2.38	2.24	2.60	2.11
Insuf.Goals & Obj's	2.33	2.33	2.30	2.32	2.40	2.29	2.20	2.36	2.38	2.13	2.25	2.31	2.50	2.80
Fac/Staff Resistance	2.58	2.53	2.67	2.54	2.62	2.62	2.50	2.73	2.52	2.56	2.75	2.35	2.80	2.44
Eval.Camp.& Dept.Plan	2.47	2.40	2.59	2.46	2.62	2.33	2.30	2.55	2.44	2.50	2.38	2.18	2.40	1.88
Insuffic. Resources	2.61	2.68	2.48	2.67	2.69	2.48	2.60	2.82	2.63	2.29	2.88	2.56	2.90	2.56
Insuff. Expertise	2.63	2.61	2.65	2.68	2.69	2.47	2.60	2.90	2.62	2.47	2.63	2.53	2.70	2.90
AVG. SPM PROBLEMS:	2.59	2.57	2.62	2.64	2.58	2.51	2.58	2.74	2.58	2.44	2.70	2.42	2.89	2.44

ATTACHMENT 4 -- RESPONDENT COMMENTS BY INSTITUTION TYPE, CONTROL, & SIZE

ESPECIALLY HELPFUL OUTSIDE AIDS:

1-5K PUB 2YR--	Planning design provided by governing board.
	Plans from other colleges.
	Carnegie-Mellon University higher education management seminar.
	Keller book; lectures.
10K+ PUB 2YR--	Models from other colleges.
1K PRIV 2YR--	NCHEMS workshop; Keller book.
1-5K PUB 4YR--	NCHEMS materials.
1-5K PRIV 4YR--	Massey & Hopkins; Planning Models.
5-10K PUB 4+YR--	NCHEMS Seminars.
	Dr. Richard Alfred, U. of Michigan; Texas Inst. of H. Ed. Mgt.
1-5K PUB SPEC--	Strategic planning national training lab; Managing People, Wharton School.
	Workshop directed by E. Boone from NC State U.
1K PRIV SPEC--	Academic Strategy (Keller).

SPM THINGS MOST SATISFIED WITH:

1-5K PUB 2YR--	College-wide morale & involvement.
	Willingness to entertain SPM.
	Process forces planning.
	Ability to forecast and react to future.
	Communication of priorities.
	Better morale; more efficient process; link of plans to budget.
	On going planning structures created.
	Proactive (mode).
	External forecasting efforts; planning at the operating unit level.
	Division level accountability.
	Depth of planning; teamwork.
	Understanding across campus.
	More able to deal with uncertainty.
	Enrollment growth; program planning.
5-10K PUB 2YR--	Improved database and software.
	Vision.
	Focusing institutional priorities.
	Setting objectives.
10K+ PUB 2YR--	Campus began thinking in planning terms.
1K PRIV 2YR--	Adapted to needed change.
1K PUB 4YR--	Responsiveness of faculty to needed change in student requirements.
	Raised consciousness; good strategic plan.
1-5K PUB 4YR--	(Strategic) plans.
	Statement of goals.
	The process.
	Process; participation of faculty/staff.
	Clarification of variables; communication of group needs.
	Increasing cooperation along with process.
1K PRIV 4YR--	Improved financial position.
1-5K PRIV 4YR--	Better direction on part of administrative units & academic depts.

	Began process of thinking & planning which will continue to improve.
	More people becoming involved with SPM issues.
	Financial improvement; enrollment.
	Greater campus-wide focus on planning.
	Enrollment; financial; physical facilities.
	Financial controls.
	Awareness of need to plan.
5-10K PRIV 4YR--	Brings institutional focus.
---	---
1-5 PUB 4+YR--	Proactivity and management of change.
5-10K PUB 4+YR--	We now have a (SPM) process in place.
	Relations with state policy makers and public.
10+K PUB 4+YR--	Review of programs; refocusing mission.
	Review and evaluation of programs and external environment.
1-5K PRIV 4+YR--	Gathering data about impressions of campus needs.
	Results; level of campus-wide involvement.
5-10K PRIV 4+YR--	Level of involvement.
	Coordinated planning.
10+K PRIV 4+YR--	Integration of objectives, budgets, & development.
---	---
1K PRIV SPEC--	Revamping of budget process; development of 5 year plan.
1-5K PRIV SPEC--	Clarification of mission & purpose, and relating of all programs.
	Clarification os issues & actions needed to be taken.

SPM THINGS MOST DISSATISFIED WITH:

1-5K PUB 2YR--	Not enough time to develop necessary dialogue with staff.
	Rate of progress with.
	Time-consuming data collection & projections.
	Uncertainty of finances makes some aspects of SPM difficult at best.
	Insufficient resources to hire research & planning personnel.
	Difficulty in cutting down on "statistical analysis time."
	Need better communication of process to employees.
	Lack of response from some administrators.
	Reacting to change.
	Still need to broaden involvement & reduce paperwork.
	Lack of presidential leadership.
	Uneven commitment from major administrators.
	Rigorous analysis of problems.
	Limited interest.
	Confusion between long-range planning and strategic planning.
5-10K PUB 2YR--	(Lack of) integration with budgeting; using information.
	Time allocation; consultant role.
	Implementing plans.
	Lack of completness.
10K+ PUB 2YR--	Length of time to develop and implement plan.
1K PRIV 2YR--	Financial position (not sufficiently improved).
---	---
1K PUB 4YR--	Time it takes; grudging involvement by faculty and staff.
1-5K PUB 4YR--	(Lack of) integration with budget and evaluation.
	Non-state funding.
	Attitude toward.
	Needs refinement.
	Committee lethargy.
	Integration of planning and budgeting (is improving but) is far from complete.

1-5K PRIV 4YR-- Needs to be more pragmatic--directly related to everyday problems & events.
Not implemented on lower levels as much as desired.
Bringing things to fruition.
Reallocation of resources.
Inadequate time to devote to the process.
Academic planning.
Faculty controlled items.
Faculty acceptance.
5-10K PRIV 4YR-- Should be farther ahead.

1-5K PUB 4+YR-- Process not well-defined or accepted.
5-10K PUB 4+YR-- Getting everyone involved in planning.
Inadequate computer system for forecasting & simulation.
Pace of change is slow.
10+K PUB 4+YR-- Implementation.
Implementing budget strategies.
1-5K PRIV 4+YR-- No institutional follow through.
Time consuming; process was slow to come to closure.
5-10K PRIV 4+YR--We need more and more effective communication throughout.
10+K PRIV 4+YR-- Some (staff/faculty) still don't do it well.

1-5K PUB SPEC-- It is hard work!
Uneven acceptance of need for strategic planning, particularly as outcomes of process impact one's own division.
Lack of access to financial data for SPM purposes.

MOST IMPORTANT VALUE OF SPM:

1K PUB 2YR-- Gives campus direction.
1-5K PUB 2YR-- Involvement of college staff; set parameters which are realistic.
Gives direction; basis for measuring progress.
It forces some planning to ocur.
Communication of where you are going.
Gets institution going in one direction; forum for conflict resolution.
Increases morale; more efficient (time & paperwork).
An aid in decision making & allocation of resources.
Improved communication; more consistency in organizational directions;
Better understanding of outcomes and their implications.
Accountability at all levels.
Concrete vehicle for planning.
Add to the needed planning atmosphere.
Doing it; getting people involved.
More ability to respond to changing conditions.
Communication among management staff.
5-10K PUB 2YR-- Allocation of resources.
Solid empirical foundation upon which to act.
Vision.
Setting objectives.
Focus on management and allocation of resources.
10K+ PUB 2YR-- Process of developing a cooperative working relationship.
Becoming proactive versus reactive.
1K PRIV 2YR-- Clarity of mission and direction.

1K PUB 4YR-- Brings all constituencies together for a cause.
Sense of "the future is in our hands"...if we're realistic.

1-5K PUB 4YR-- Control of programs and budget.
Shared sense of purpose.
Ties together budget, legislative requests, accrediting information, and state agency information.
Guide for directing resources.
Provides focus.
Rational approach; participation.
Consensus on goals.

5-10K PUB 4YR-- Improves quality.

1K PRIV 4YR-- Focus/sense if direction of purpose.
Conscious control of future.
Goal achievement.

1-5K PRIV 4YR-- Projecting future budget needs to meet programmatic demands.
Changing the way administrators think.
Ability to control institution's destiny.
Process of change is directed.
Brings an increased focus on planning throughout campus.
Active vs. reactive posture.
Results--gets people moving.

1-5K PUB 4+YR-- Understanding & clarifying problems and opportunities.
Forces managers to articulate goals, to plan, and to employ time-frame mgt.

5-10K PUB 4+YR-- Knowing what the future may be or could be.
Interaction with objectives.

10+K PUB 4+YR-- Better understanding of institution and external variables.
Integration of all actions, especially with the budget.
Anticipating and responding to change.
Focus resources to highest priority.

1-5K PRIV 4+YR-- Mutual planning.
Focusing on issues which influence future directions.

5-10K PRIV 4+YR--Communication; information sharing; better operations since all are involved establishing the goals.
Coordinated planning.

1K PUB SPEC-- Training in & application of logical, iterative thought process.

1-5K PUB SPEC-- Self-examination; unity of processes & elements.
Establish priorities and mission.
Assessing present status against desired future state.

1K PRIV SPEC-- To have a continuing concept of where you are & where you are going.
A well thought out management approach of evaluating & planning for the enhancement of goals & objectives.

1-5K PRIV SPEC-- Commitment of CEO.
The process results in action.
Clear mission statement; identification of strategic objectives.

MOST DIFFICULT THING ABOUT SPM:

1K PUB 2YR-- Having administration & faculty keep implementing.

1-5K PUB 2YR-- Willingness of staff to be involved; attention span!
Doing it.
Getting everyone to take it seriously.
Going into enough detail.
Keeping it simple & efficient.
Ties to the budget.
Communicating the process to everyone; getting people to think strategically.

	Getting everyone to participate in the process.
	Convincing some staff of its importance and utility.
	Getting commitment to common objectives at senior management level.
	Turf building propensities.
	Obtaining understanding of the importance of participation in it.
	Getting started.
	Understanding it.
	Evaluation of ongoing process.
5-10K PUB 2YR--	Organization within the institution.
	The process itself does not change management style and/or politics.
	Time.
	Getting people to stay with the process.
	Implementation.
10K+ PUB 2YR--	Developing the concept that planning really drives budget allocation, rather than budget creating the plan.
	Involving everyone; length of time.
1K PRIV 2YR--	Implementation.
---	---
1K PUB 4YR--	Bringing faculty to a point of change.
	Getting faculty commitment to it.
1-5K PUB 4YR--	Getting management to understand and use.
	Matching goals with resources.
	Time required.
	Bringing its importance to light.
	Lack of resources.
	Maintaining objectivity; finding sufficient time.
	Integrating planning and budgeting.
5-10K PUB 4YR--	Getting faculty to do their homework.
	Time to do it.
1K PRIV 4YR--	Taking time to do it.
	Too much paperwork.
	Implementation.
1-5K PRIV 4YR--	Lack of understanding; resistance.
	Have inadequate staff.
	Heightened expectations.
	Getting started.
	Continuous process; moving down to lower mgt. levels.
	Getting everyone involved in, seeing importance of, and being committed to working in SPM.
---	---
1-5K PUB 4+YR--	Holding people to their goals.
	Acceptance of; direct tie to budget.
5-10K PUB 4+YR--	Communication of goals and objectives.
	Getting SPM started.
	Directing resources to the objectives.
10+K PUB 4+YR--	Building consensus.
	Limiting objectivs to a manageable group.
	Taking time to do it well enough so it has practical meaning.
	Faculty resistance.
	Communicating value and results to all interested parties.
1-5K PRIV 4+YR--	Documentation; data gathering; feedback.
	Cooperation of all levels of campus.
5-10K PRIV 4+YR--	Agreed to priorities and commitments.
	Keeping the process flowing.

1K PUB SPEC-- Overcoming existing relationships and parochial commitments.

1-5K PUB SPEC-- Getting broad involvement.
Conveying to dept. chairs how serious you are about it.
Getting it all together; seeing the whole picture.

BE SURE TO DO THE FOLLOWING:

1-5K PUB 2YR-- Clearly present organizational steps & time frames.
Educate all persons involved.
Get top executive commitment.
Hire a consultant to help you get started, or attend an intensive workshop.
Start small, and build a foundation.
Follow through.
Tie SPM to the budget process.
Keep it simple; communicate steps & process as you develop & implement it.
Set objectives and an implementation plan.
Get broad involvement on forecasting & external environmental analysis; get strong presidential commitment; provide good training programs.
Involve all from day one.
Get line managers on committee.
Involve many, early.
Plan and organize.
Read Peter Drucker.
Read, devise methods for SPM.

5-10K PUB 2YR-- Have personnel responsible for planning.
Integrate processes, especially with the budget.
Use the right facilitator/consultant.
Evaluate the process; begin anew.
Get full commitment from president and senior staff.

10K+ PUB 2YR-- Involve a representative cross-section of institutional staff.
Have CEO involved.

1K PRIV 2YR-- Broad-based involvement.

1K PUB 4YR-- Spend extra time with all on training and selling the concept--prior to starting.

1-5K PUB 4YR-- Keep it simple and easy.
Involve faculty and external groups.
Have measures to evaluate success/failure of SPM, and update plan as necessary.
Allow adequate time.
Bring in an expert.
Allow sufficient time; provide structure, forms.

5-10K PUB 4YR-- Involve institutional community.
Involve faculty.

1K PRIV 4YR-- Keep it updated.
Identify mission, goals, and objectives.
Be realistic in objectives.

1-5K PRIV 4YR-- Gather sufficient information; consult widely.
Define goals & objectives and communicate.
Keep operations and planning separate.
Talk to successful SPM practitioners.
Prepare materials & procedures well.
Have commitment from CEO.
Involve the faculty.

1-5K PUB 4+YR-- Get top admin. commitment for goals.

Keep it simple.

5-10K PUB 4+YR-- Report results frequently and in summary form.
Win support of CEO.
Have executive support.

10+K PUB 4+YR-- Involve governing board.
Select "good" persons to serve on SPM committee; obtain administrative commitment.
Use results visibly; hire staff who write well; involve as many people as possible.

1-5K PRIV 4+YR-- Establish broad planning group; establish feedback.
Get commitment of administration.

5-10K PRIV 4+YR-- Coordinate and communicate; develop sound rationale.
Communicate and involve everyone.

1K PUB SPEC-- Have commitment of top leaders.

1-5K PUB SPEC-- Make sure everyone understands the process ns its intent.
Train. Train. Train.

1K PRIV SPEC-- Inform line managers, faculty, and board what you are doing and why.
Get everyone involved.

BE SURE YOU DON'T DO THE FOLLOWING:

1-5K PUB 2YR-- Assume that others understand your agenda.
Fragment.
Let SPM die on the shelf--keep it moving.
Try to take on the whole institution initially.
Over-emphasize the statistical side.
Make too much paperwork required.
Try to take someone else's model/process and make it your own.
Fail to consider restraints (including) available information.
Create the impression that the Planning Officer is the planner for the for the organization.
Rely on the concept to "sell" itself.
Pre-emptive planning.
Start without having basic information ready.
Rely on management to do the work without training and assistance.

5-10K PUB 2YR-- Initiate without commitment and assignment of responsibility.
Move too fast.
Talk about "ending;" SPM is ongoing.
Fail to link planning to budgeting.

10K+ PUB 2YR-- Develop a rigid, inflexible process.
Let process draw out into an unreasonable time period.

1K PRIV 2YR-- Expect miracles.

1-5K PUB 4YR-- Force planning from the top down.
Try to quantify everything; set objectives you cannot attain.
Overdo the training (it is easy to kill interest if non-academic planners are insensitive).
Proceed without CEO's readiness.

5-10K PUB 4YR-- Do all the work (yourself).

1K PRIV 4YR-- Put it on the shelf.
Fraternize with team.
Set unrealistic goals; upset morale.

1-5K PRIV 4YR-- Involve only a few people.
Leave out faculty.

Expect total cooperation & acceptance first time around.
Let the process become more significant than the end product; don't try to project for too long a time period.
Don't pick people because of political expediency.

1-5K PUB 4+YR-- Plan in isolation without sufficient consultation.
Raise expectation levels.
5-10K PUB 4+YR-- Bury people in paper.
Control.
10+K PUB 4+YR-- Forget to set up an ongoing process.
Get so caught up in details that you lose sight of intent.
Operate in a vacuum.
1-5K PRIV 4+YR-- Too much power in planning committee.
5-10K PRIV 4+YR--Plan only at the top.
Have a planner do it.

1K PUB SPEC-- Having an individual or small, ancillary office take on responsibility for SPM.
1-5K PUB SPEC-- Develop plan centrally and then issue to faculty.
Don't rush it!
1K PRIV SPEC-- Go it alone by imposing process on the college.
Put it aside.

THINGS TO WATCH OUT FOR:

1-5K PUB 2YR-- Personality differences--polarization of ideas rejected.
Territorial (situations/infringements).
Attempts to sabotage SPM.
Resistance.
Unrealistic goals & plans of some departments.
Paperwork overburdening.
CEO commitment; senior management involvement.
Letting priority slip.
Vested interests.
Having it take up all of your time.
5-10K PUB 2YR-- Quick fix artists.
Unnecessary complexity of process.
Analysis paralysis.
Hidden agendas.
1K PRIV 2YR-- Special interest groups.

1K PUB 4YR-- Planning without a realistic date.
1-5K PUB 4YR-- Lack of faculty/staff involvement.
Things viewed as minor which could prevent/delay achievement.
1K PRIV 4YR-- Have follow up; delegate responsibilities.
Ignorant opposition.
Overzealousness; negativeness; timing; morale.
1-5K PRIV 4YR-- Timing; resistance of faculty/staff.
Be sure to communicate with faculty.
Lack of objectivity in evaluating data.
Attempt to make it long-range planning.
Failure of some administrators to use the plan on e it is developed.
5-10K PRIV 4YR-- Be clear about what participation means.

1-5K PUB 4+YR-- Data accuracy and timeliness; meaningless measures.
5-10K PUB 4+YR-- Trying to accomplish too much too soon.

Moving away from objectives.

10+K PUB 4+YR-- Political actors will hate it.
No one will believe you're using it.

1-5K PRIV 4+YR-- The time killer of too many meetings.

5-10K PRIV 4+YR--Everything associated with the process.
Raising expectations and creating "wish lists."

1K PUB SPEC-- Entrenched interests; "rights" of the faculty; fear of change (expressed in many ways).

1-5K PUB SPEC-- Endless data gathering.
Proliferation of interesting but not crucial side issues.
Over structuring.
Be sure you have top management commitment.

1K PRIV SPEC-- Diluting institutional mission by failing to focus on the institution's uniqueness.
People who are not aware of what you are doing.

WAYS TO SAVE TIME:

1-5K PUB 2YR-- Keep meetings brief; be well prepared.
Educate all persons involved.
Get outside help on the process.
Know what you are doing.
Set up task force groups; conduct planning surveys.
Use word processor in preparation of planning document.
Think ahead; consult others.
Set up system and leave it in place for a full cycle.

5-10K PUB 2YR-- Early planning calendar.
Make all activities and involvement "productive."
Good information-processing support.

10K+ PUB 2YR-- Have SPM group meet on continuous basis, away from campus; have data already collected.

1K PRIV 2YR-- None.

1-5K PUB 4YR-- Have President and VP actively involved.
Integrate into normal institutional processes.
Do necessary groundwork before attempting to dive in head first.
Forms; tight procedures.

1K PRIV 4YR-- Proceed systematically.
Use professional consultants.

1-5K PRIV 4YR-- Take key figures on retreat at beginning.
Build agendas in advance.
Talk to those who have done it.
Have process totally outlined, and suggested responses.
I have not found them yet.
Meet off campus.

1-5K PUB 4+YR-- Give everyone a planning manual.
(None.)

5-10K PUB 4+YR-- Assign subgroups to specific tasks.
Prepare for each step.
I would like the answer to this one!

10+K PUB 4+YR-- There are none.
Be prepared before meetings.
Keep committee small; have tight agenda for meetings.

1-5K PRIV 4+YR-- Have workshop; open forum newsletter.
5-10K PRIV 4+YR--None.
Communication.

1K PUB SPEC-- Be clear about objectives and process at each stage.
1-5K PUB SPEC-- You tell me!
Differentiate departmental from institutional issues, and pursue both separately but simultaneously.
1K PRIV SPEC-- Identifying a strong, capable staff.

A SECRET TO SUCCESSFUL SPM COULD BE:

1-5K PUB 2YR-- A strong, willing staff.
Chief executive initiates.
Know what you are doing.
Keep it simple.
Broad-based input & participation.
Presidential leadership; incorporating strategic planning into the "lifestyle" of the organization.
Commitment at the top.
Leadership and help by director.
5-10K PUB 2YR-- Information program for all staff on objectives of SPM.
Establish as an ongoing process.
Full commitment from CEO and senior staff.
10K+ PUB 2YR-- Time and resources.
1K PRIV 2YR-- Hard work and receptive climate.

1-5K PUB 4YR-- Have President and VP actively involved.
Accept SPM as normal business.
Communication; teamwork; top management support.
Participation.
5-10K PUB 4YR-- Do your homework; institutional commitment.
1K PRIV 4YR-- Good staff follow up.
(Recognize that it is) time consuming.
Luck and hard work.
1-5K PRIV 4YR-- Communications.
President must lean (on the process).
Collegial decisionmaking.
Assign leadership to one person.
Good communication and flexibility of the process.
Commitment.

1-5K PUB 4+YR-- An organizational structure in a visible position with acceptance by the institutional community.
5-10K PUB 4+YR-- Some outside pressure.
10+K PUB 4+YR-- Get mid-level managers to do it themselves; use your results. Appropriate design of a unique process.
Top management support.
Select effective leadership.
1-5K PRIV 4+YR-- Get people (faculty/staff) involved from beginning, and have them do some of the research.
5-10K PRIV 4+YR--Leadership.
Being honest.

1K PUB SPEC-- Enlightened, bold, and committed leadership.

1-5K PUB SPEC-- The President's commitment.
Borrow widely and keep an open mind, and don't rush it.
1K PRIV SPEC-- Active leadership from the line/faculty leaders; good staff support.
1-5K PRIV SPEC-- Trust.

OTHER ADVICE/COMMENTS:
5-10K PUB 2YR-- Database should mirror institutional organization and processes.
You learn ways to adjust the process to keep it moving.
Do not let an inexperienced planner attempt to lead the process.
5-10K PUB 4YR-- Work hard; read the literature; get CEO support.
1K PRIV 4YR-- Be sure all key administrators are "sold" on the process.
1-5K PRIV 4YR-- Make planning a constant way of life, not an occasional thing.
5-10K PRIV 4YR-- NCHEMS Seminar with Bob Shirley was very useful.

10+K PUB 4+YR-- Keep it non-threatening.
Use it to improve before you use it to cut.
Use local development of planning process; carefully identify important data elements; have a realistic approach to projections; have adequate

LIST OF INSTITUTIONS RESPONDING TO SAM SURVEY #2

TWO-YEAR:	PUBLIC INSTITUTIONS----------	
(2 Yrs; less than 4 Yrs)	Lake Tahoe Comm.College	Mendocino Lake Comm. Coll.
	Southwestern College	Aims Community College
	Northeastern Junior Coll.	McHenry County College
	Rend Lake College	Indiana Voc.Tech.Wabash
	Louisiana State--Eunice	Hagerstown Junior College
	Montgomery College	Bay de Noc Comm. College
	Northwestern Mich. Coll.	Miss. Gulf Coast Jr. Coll.
	St. Louis Comm.Coll.Flor.	Clinton Community College
	Onondaga Community Coll.	Mitchell Community Coll.
	Ohio University--Belmont	Murray State College
	Mount Hood Comm. College	Comm.College Beaver County
	Northampton County Com.Col.	Oklahoma City Comm.College
	Roane State Comm.College	Wharton County Junior Coll.
	Tacoma Community College	Whatcom Community College
	Laramie County Com.Coll.	
	PRIVATE INSTITUTIONS----------	
	Lasell Junior College	
FOUR YEAR:	PUBLIC INSTITUTIONS----------	
(4 or 5 Yrs; Masters)	Governors State Univ.	Indiana St. Univ--Evnsvl.
	Kentucky State Univ.	Univ. Maine--Machias
	Bowie State College	Lake Superior St.Coll.
	Saginaw Valley St.Coll.	Lincoln University
	U.North Carolina--Ashvl.	Cameron University
	Penn St. U--Capitol Cmp.	Penn St. U--King Prussia
	U.So.Carolina--Coastal	Central Washington Univ.
	Bluefield State College	
	PRIVATE INSTITUTIONS----------	
	Westmont College	Kendall College
	Bethany College	Saint Mary College
	Centre College	Merrimack College
	Hope College	Rust College
	Carroll College	Elmira College
	Franklin University	Oberlin College
	Ursinus College	Union University
	Bloomfield College	Coll. New Rochelle
FOUR-PLUS YR:	PUBLIC INSTITUTIONS----------	
(Beyond Master; Doctorate)	U. Northern Alabama	U. Alaska--Fairbanks
	South.Arkansas U.--Main	Georgia So. College
	Valdosta State College	Northern Illinois Univ.
	Wichita State Univ.	University of Lowell
	St. Cloud State Univ.	U. Missouri--Columbia
	Troy State University	Rhode Island College
	Winthrop College	Univ. South Dakota
	Memphis State Univ.	Texas Southern Univ.
	PRIVATE INSTITUTIONS----------	
	Atlanta University	Emory University
	University of Dayton	St. Joseph College
	Rensselaer Polytech.	
SPECIAL:	PUBLIC INSTITUTIONS----------	
	U.Conn. Health Center	Columbus Tech.Institute
	U. Texas Medical--Glvstn.	Lakeshore Tech.Institute
	Edgecombe Tech. College	
	PRIVATE INSTITUTIONS----------	
	Devry Institute Tech.	Calif.Coll.Arts & Craft
	Davenport Coll. Business	Piedmont Bible College
	Philadelphia Coll.Pharm.	Meharry Medical College
	Dallas Theolog. Seminary	

BEST COPY AVAILABLE